

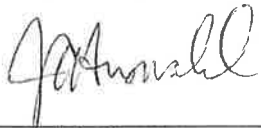

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

Command: Morongo Basin	Division: Inland	Number: 870
Evaluated by: Sergeant J. Arnsward, #11974		Date: 01/05/2009
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input checked="" type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Follow-up Inspection		Commander's Signature: 		Date: 1/5/09
For applicable policy, refer to: HPM 11.2, Chapter 7				
1. Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Have Approvers/reviewers of purchases received procurement training?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Are prohibited items procured on CHP 43, Purchase Requisitions? <ul style="list-style-type: none"> <li>Supplies for personally – owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Is all required information entered on the CHP 43, Purchase Requisition?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Have not had to utilize expedited requests for the purchase of goods.

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are the CHP 43, Purchase Requisitions, competitively bid?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Only make purchases with a vendor or contract.
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Same as above
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Same as above
14. Are items checked immediately for content and damage when delivered?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are Damaged items delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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Chapter 3, Command Procurements  
Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: <b>Morongo Basin</b>	Division: <b>Inland</b>	Chapter: <b>3</b>
Inspected by: <b>J. Arnsward, 11974</b>		Date: <b>01/05/09</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: <b>1/5/09</b>

Chapter Inspection:

Inspector's Comments Regarding Innovative Practices:

The Area utilized standard practices as they apply to this Chapter Inspection. No innovative practices were noted.

Command Suggestions for Statewide Improvement:

No suggestions for Statewide improvement were obtained.

Inspector's Findings:

This Chapter Inspection revealed Morongo Basin Area conducts and documents Command Procurements/Purchases within policy.



STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

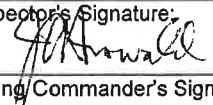
Page 3

Command: Morongo Basin	Division: Inland	Chapter: 3	Cc
Inspected by: J. Arnswald, 11974		Date: 01/05/09	

**Appeal Process:** *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

**Commander's Basis for Appeal:**

**Appeal Review/Decision:** *(This shall be the only level of appeal).*

Lead Inspector's Signature: 	Date: 1-5-09
Responding Commander's Signature (for appeal):	Date:


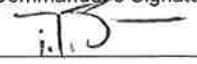
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Cal-Card Program

Command: Morongo Basin	Division: Inland	Number: 870
Evaluated by: Sergeant J. Arnswald, 11974		Date: 01/05/09
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

<b>TYPE OF INSPECTION</b> <input type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input checked="" type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 			
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature: 	Date: 1/5/09
For applicable policy, refer to: HPM 11.2, Chapter 3					
1. Are all employees associated with the use of the Cal-Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:	
2. Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:	
3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:	
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This document would be retained at HQ due to state contract for paper purchases.	
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:	
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Not utilized.	
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:	
8. Does the CHP 317 Cal Card Log fully describe the purchase?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:	
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:	

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## **COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST**

Chapter 3, Command Procurements


Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: Morongo Basin	Division: Inland	Chapter: 3
Inspected by: Sergeant J. Arnsward, 11974		Date: 01/05/09

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: 1/5/09
<b>Chapter Inspection:</b>			
<b>Inspector's Comments Regarding Innovative Practices:</b>			

Morongo Basin Area utilized standard practices as they apply this Chapter Inspection. No innovative practices were noted.

**Command Suggestions for Statewide Improvement:**

No suggestions for Statewide improvement were obtained.

**Inspector's Findings:**

This Chapter Inspection revealed Morongo Basin Area conducts and documents Command Procurements within policy.

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

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Command: Morongo Basin	Division: Inland	Chapter: 3	Cc
Inspected by: Sergeant J. Arnswald, 11974		Date: 01/05/09	

**Appeal Process:** *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

**Commander's Basis for Appeal:**

**Appeal Review/Decision:** *(This shall be the only level of appeal).*

Lead Inspector's Signature:

*J. Arnswald*

Date:

*1-5-09*



Responding Commander's Signature (for appeal):

Date:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**INSPECTION CHECKLIST**  
Chapter 3, Command Procurements  
Contracts

Command: Morongo Basin	Division: Inland	Number: 870
Evaluated by: Sergeant J. Arnsward, 11974		Date: 01/05/09
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input checked="" type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection Commander's Signature: 		Date: 1/5/09
For applicable policy, refer to: HPM 11.1, Chapter 22				
1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: All contracts originate at HQ
4. Is the performance of contract services monitored and documented?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Are all copies of correspondence with the vendor maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

21. Is the length of the contract amendment request more than one year?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks</u> and <u>driver license checks</u> conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:None of the services apply.
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:None of the personnel listed have been utilized for 30 days or longer.



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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST


Chapter 3, Command Procurements  
Contracts

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained for <u>three years</u> after the final payment of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: <b>Morongo Basin</b>	Division: <b>Inland</b>	Chapter: <b>3</b>
Inspected by: <b>Sergeant J. Arnswald, 11974</b>		Date: <b>01/05/09</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: <b>1-5-09</b>
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices:			

Morongo Basin Area utilized standard practices as they apply this Chapter Inspection. No innovative practices were noted.

Command Suggestions for Statewide Improvement:

No suggestions for Statewide improvement were obtained.

Inspector's Findings:

This Chapter Inspection revealed Morongo Basin Area conducts and documents Command Procurements/Contracts within policy.

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 3

Command: Morongo Basin	Division: Inland	Chapter: 3	Cc
Inspected by: Sergeant J. Arnswald, 11974		Date: 01/05/09	

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature:

Date:

01-05-09


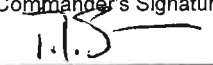
Responding Commander's Signature (for appeal):

Date:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**INSPECTION CHECKLIST**  
Chapter 3, Command Procurements  
X-Number Program

Command: <b>Morongo Basin</b>	Division: <b>Inland</b>	Number: <b>870</b>
Evaluated by: <b>Sergeant B. Green, #10311</b>		Date: <b>01/05/2009</b>
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input checked="" type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection	Commander's Signature: 
Date: 1/5/09			
For applicable policy, refer to: HPM 11.1, Chapter 23			
1. Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
2. Does all X Number file documentation contain the STD. 204 Payee Data Record?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A
4. Are X Number requests made prior to the date the services are performed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
5. Are X Numbers issued for a one-time use?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
6. Are prohibited services performed using an X Number?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

Chapter 3, Command Procurements


X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: <b>Morongo Basin</b>	Division: <b>Inland</b>	Chapter: <b>3</b>
Inspected by: <b>Sergeant B. Green, #10311</b>		Date: <b>01/05/2009</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: <b>1/5/09</b>
<b>Chapter Inspection:</b>			
<b>Inspector's Comments Regarding Innovative Practices:</b>			

The Area utilized standard practices as they apply to this Chapter Inspection. No innovative practices were noted.

**Command Suggestions for Statewide Improvement:**

No suggestions for Statewide improvement were obtained.

**Inspector's Findings:**

This Chapter Inspection revealed that the Morongo Basin Area conducts and documents Command Procurements/X-Number Program within policy. A physical inspection of a sample of records kept on file verified that all were within policy and contained required/relevant information.

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**


Page 3

Command: <b>Morongo Basin</b>	Division: <b>Inland</b>	Chapter: <b>3</b>
Inspected by: <b>Sergeant B. Green, #10311</b>		Date: <b>01/05/2009</b>

**Appeal Process:** *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

**Commander's Basis for Appeal:**

**Appeal Review/Decision:** *(This shall be the only level of appeal).*

Lead Inspector's Signature: 	Date: <b>1-5-09</b>
Responding Commander's Signature (for appeal):	Date:



STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

Command: Arrowhead Area	Division: Inland	Number: 865
Evaluated by: Lt. R. Sanders		Date: 01-06-2009
Assisted by: D. Biggs & P. Ross		Date: 01-06-2009

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

<b>TYPE OF INSPECTION</b> <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input checked="" type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Follow-up Inspection		Commander's Signature: 		Date: 1-8-09
For applicable policy, refer to: HPM 11.2, Chapter 7				
1. Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Have Approvers/reviewers of purchases received procurement training?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Are prohibited items procured on CHP 43, Purchases Requisitions? <ul style="list-style-type: none"> <li>Supplies for personally – owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Is all required information entered on the CHP 43, Purchase Requisition?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:



STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

9. Are the CHP 43, Purchase Requisitions, competitively bid?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Not allowed.
14. Are items checked immediately for content and damage when delivered?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

#### Chapter 3, Command Procurements

#### Purchases


by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?				
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: PDR books. Phyllis Ross followed up with Rosetta Morales.
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

Purchase Requisitions were reviewed and found to be processed correctly.

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: Arrowhead Area	Division: Inland	Chapter: 3
Inspected by: Lt. Sanders		Date: 01-06-2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: Inland Division Due Date: 12/15/2008	Commander's Signature: 	Date: 01-08-2009

**Chapter Inspection: Chapter 3 Command Procurement Contracts-Purchases**

Inspector's Comments Regarding Innovative Practices:

(none)

Command Suggestions for Statewide Improvement:

(none)

Inspector's Findings:

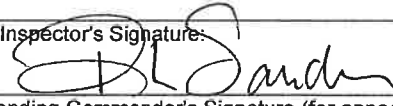
#21 Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time? Yes PDR books Phyllis contacted Rosetta Morales and cancelled order that was not received. Additionally, ATII Biggs contacted contracts management regarding a mower that was never procured.

All purchases appear to be within policy.

**Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).**

Commander's Basis for Appeal:

**Appeal Review/Decision: (This shall be the only level of appeal).**

Lead Inspector's Signature: 	Date: 1-8-09
Responding Commander's Signature (for appeal):	Date:



STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Cal-Card Program

Command: Inland Division	Division: Inland	Number: 865
Evaluated by: Lt. R. Sanders		Date: 01-06-2009
Assisted by: P. Ross/D. Biggs		Date: 01-06-2009

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:		
<input type="checkbox"/> Division Level	<input checked="" type="checkbox"/> Command Level			
<input type="checkbox"/> Executive Office Level	<input checked="" type="checkbox"/> Voluntary Self-Inspection			
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Follow-up Inspection	Commander's Signature: 		Date: 01-08-2009*
For applicable policy, refer to: HPM 11.2, Chapter 3				
1. Are all employees associated with the use of the Cal-Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks : Completed 1-7-09		
2. Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks:		
3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks		
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks:		
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks:		
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks:		
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A	Remarks:		
8. Does the CHP 317 Cal Card Log fully describe the purchase?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks:		
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks:		

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Pre-approval provided in person, by phone, or e-mail and signed as soon as possible by Commander or Alt.
15. Have all cardholders received training on the Department's procurement processes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: Arrowhead Area	Division: Inland	Chapter: 3
Inspected by: Lt. Sanders		Date: 01-06-2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: Inland Division Due Date: 12/15/2008	Commander's Signature: 	Date: 01-08-2009
Chapter Inspection: CAL CARD			
Inspector's Comments Regarding Innovative Practices:			

(none)

Command Suggestions for Statewide Improvement:

(none)

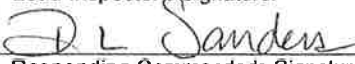
Inspector's Findings:

#1: Are all employees associated with the use of the Cal-Card program completing the CHP 78S Conflict of Interest Statement, Employee, form? Not previously. Corrective step taken 1-7-09.

Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).

Commander's Basis for Appeal:

Appeal Review/Decision: (This shall be the only level of appeal).

Lead Inspector's Signature: 	Date: 1-8-09
Responding Commander's Signature (for appeal):	Date:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
X-Number Program

Command: <b>Arrowhead Area</b>	Division: <b>Inland</b>	Number: <b>865</b>
Evaluated by: <b>Lt. R. L. Sanders</b>		Date: <b>01/06/2009</b>
Assisted by: <b>OSI Phyllis Ross</b>		Date: <b>01/06/2009</b>

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:			
<input type="checkbox"/> Division Level	<input checked="" type="checkbox"/> Command Level	<i>R L Sanders</i>			
<input type="checkbox"/> Executive Office Level	<input checked="" type="checkbox"/> Voluntary Self-Inspection				
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection	Commander's Signature:		Date:
			<i>R L Sanders</i>		<i>1-6-09</i>
For applicable policy, refer to: HPM 11.1, Chapter 23					
1. Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:	
2. Does all X Number file documentation contain the STD. 204 Payee Data Record?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: New vendors supplied only.	
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:	
4. Are X Number requests made prior to the date the services are performed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:	
5. Are X Numbers issued for a one-time use?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:	
6. Are prohibited services performed using an X Number?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:	
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:	
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:	
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: <i>plumbing</i>	
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:	

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

Chapter 3, Command Procurements  
X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: insufficient vendors available or willing to respond to area.
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: one small business vendor used. However, no certification form attached.
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: If a copy is received, yes.
14. Do emergency service X Numbers document and justify the emergency?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: emergency plumbing water leaks.
15. Is the itemized invoice for each X Number service maintained in the command's files?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:


All X numbers for 07/08 and 08/09 were reviewed and followed policy:



STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Command: Arrowhead Area	Division: Inland	Chapter: 3
Inspected by: Lt. Sanders		Date: 01-06-2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: Inland Division Due Date: 12/15/2008	Commander's Signature: 	Date: 01-08-2009

Chapter Inspection: Chapter 3 Command Procurement Contracts-X-Numbers

Inspector's Comments Regarding Innovative Practices:

(none)

Command Suggestions for Statewide Improvement:

(none)

Inspector's Findings:

#11 Do all X Numbers awarded to a small business vendor contain three price quotations? No. When other vendors refused to respond to area, their names/companies were not documented. Area will correct in the future.

#12 Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)? No. Some small business certificates not attached to file. Area will institute corrective measures for future services.

All purchases appear to be within policy.

STATE OF CALIFORNIA  
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**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**  
Page 2

Command:	Division:	Chapter:
Inspected by:		Date:

Commander's Response:

Area will document the names of businesses who refuse to bid or fail to provide a price quotation and include them with the awarded bid.

Area will insure small business vendors used provide an appropriate certification and it will be copied and maintained in area file prior to forwarding to HQ.

Inspector's Comments:

**Required Action**

**Corrective Action Plan/Timeline**

These corrections will immediately be implemented.

**Appeal Process:** *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

**Commander's Basis for Appeal:**

**Appeal Review/Decision:** *(This shall be the only level of appeal).*

Lead Inspector's Signature: 	Date: 1-8-09
Responding Commander's Signature (for appeal):	Date:

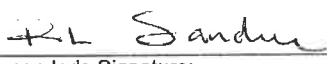
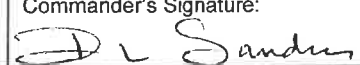
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# **COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST**

Chapter 3, Command Procurements  
Contracts

Command: Arrowhead Area	Division: Inland	Number: 865
Evaluated by: Lt. Sanders		Date: 1-6-2009
Assisted by: D. Biggs/P. Ross		Date: 01-06-2009

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

<b>TYPE OF INSPECTION</b> <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input checked="" type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection	Commander's Signature: 	Date: 1-8-09
For applicable policy, refer to: HPM 11.1, Chapter 22				
1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks
2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	
3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for <u>contract payable</u> listed on the CHP 78?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
4. Is the performance of contract services monitored and documented?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks Lawn, door, pest control, gate, & snow removal
5. Are all copies of correspondence with the vendor maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Bill dispute for fuel stand by charge.
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks No problem with services. :
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: None

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Facilities handles.
10. Is all work completed and accepted by the Department before expiration of contract agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Facilities contacted prior to additional services provided.
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Facilities handles.
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:..
20. Are contract amendment request dollar amounts increased more than 30%?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

21. Is the length of the contract amendment request more than one year?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained for <u>three years</u> after the final payment of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Sign in/out at front desk.
31. Is a computer file prepared for all contracts administered?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Facilities handles.
33. Is the notification to the contractor documented for the start date for services to begin?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Contract Services Unit notifies contractor of start date.
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Services are not authorized until a fully approved contract is received.

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Command: Arrowhead Area	Division: Inland	Chapter: 3
Inspected by: Lt. Sanders		Date: 01-06-2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: <u>Inland Division</u> Due Date: 12/15/2008	Commander's Signature: 	Date: 01-08-2009

Chapter Inspection: Chapter 3 Command Procurement Contracts

Inspector's Comments Regarding Innovative Practices:

(none)

Command Suggestions for Statewide Improvement:

(none)


Inspector's Findings:

Area has not initiated any contracts. Facilities section has handled the contracts for Area. Area monitors performance and maintains contact with Facilities section.

Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).

Commander's Basis for Appeal:

Appeal Review/Decision: (This shall be the only level of appeal).

Lead Inspector's Signature: 	Date: 1-8-09
Responding Commander's Signature (for appeal):	Date:

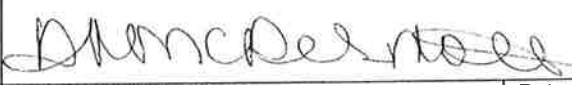

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# **COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST**

Chapter 3, Command Procurements  
Cal-Card Program

Command: <b>Rancho Cucamonga</b>	Division: Inland Division	Number:
Evaluated by: <b>Lt. McDermott</b>		Date: <b>12/04/08</b>
Assisted by: Becky Guzman		Date: 12/04/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature: 
Date: <b>12-4-08</b>				
For applicable policy, refer to: HPM 11.2, Chapter 3				
1. Are all employees associated with the use of the Cal-Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	
2. Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Also submitted with paperwork to Division.
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Purchase limits are strictly adhered to.
8. Does the CHP 317 Cal Card Log fully describe the purchase?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:



STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST


Chapter 3, Command Procurements  
Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Yes, and submitted when appeared on bank statement.
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Located in a locked strong box, locked cabinet in a locked room.
14. Are Cal Card purchases pre-approved by the commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: And/Or her alternate.
15. Have all cardholders received training on the Department's procurement processes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Trained by Division and Hdqts staff.
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Hard copy of prohibited items kept handy for easy referral.

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: Rancho Cucamonga	Division: Inland	Chapter: 3, Command Procurements Cal-Card Program
Inspected by: Lt. McDermott		Date: 12/04/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: 1/6/09

Chapter Inspection:

Inspector's Comments Regarding Innovative Practices:

None

Command Suggestions for Statewide Improvement:

None

Inspector's Findings:

Within policy, no deficiencies.

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

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Command: Rancho Cucamonga	Division: Inland	Chapter: 3, Command Procurements Cal-Card Program
Inspected by: Lt. McDermott		Date: 12/04/2008

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

N/A

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature:



Date:

1/6/09

Responding Commander's Signature (for appeal):

Date:


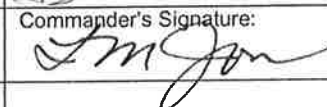
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# **COMMAND INSPECTION PROGRAM** **INSPECTION CHECKLIST**

Chapter 3, Command Procurements  
X-Number Program

Command: <b>Rancho Cucamonga</b>	Division: Inland Division	Number:
Evaluated by: <b>Lt. McDermott</b>		Date: <b>12/01/08</b>
Assisted by: Becky Guzman, OSS		Date: 12/01/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature:  Date: <b>12-2-08</b>
For applicable policy, refer to: HPM 11.1, Chapter 23				
1. Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Does all X Number file documentation contain the STD. 204 Payee Data Record?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Never done like that in this Command.
4. Are X Number requests made prior to the date the services are performed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Use email from Division OSS as proof and attachment.
5. Are X Numbers issued for a one-time use?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are prohibited services performed using an X Number?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Services only.
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

Chapter 3, Command Procurements

X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Unless it is sole source vendor then that is noted on paperwork to Division.
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Submitted and kept on file at Area level.
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: If facilities related, then approval from Hdqts Facility unit is on file.
15. Is the itemized invoice for each X Number service maintained in the command's files?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command:  
Rancho Cucamonga

Division:  
Inland

Chapter: 3, Command  
Procurements X-  
Number Program

Inspected by:  
Lt. McDermott

Date:  
12/01/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION

☐ Division Level ☒ Command Level

☐ Executive Office Level

☐ Corrective Action Plan Included

☐ Appeal Included

☐ Attachments Included

Follow-up Required:

☐ Yes ☒ No

Forward to:

Due Date: \_\_\_\_\_

Commander's Signature:

Date:

*D. McDermott*

1/6/09

Chapter Inspection:

Inspector's Comments Regarding Innovative Practices:

None

Command Suggestions for Statewide Improvement:

None

Inspector's Findings:

Within policy, no deficiencies.

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**  
Page 3

Command: Rancho Cucamonga	Division: Inland	Chapter: 3, Command Procurements X- Number Program
Inspected by: Lt. McDermott		Date: 12/01/2008

**Appeal Process:** *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

**Commander's Basis for Appeal:**

N/A

**Appeal Review/Decision:** *(This shall be the only level of appeal).*

Lead Inspector's Signature:



Date:

1/6/09

Responding Commander's Signature (for appeal):

Date:


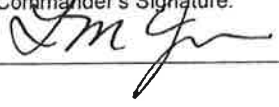
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# **COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST**

Chapter 3, Command Procurements  
Contracts

Command: Rancho Cucamonga	Division: Inland	Number:
Evaluated by: Lt. Mark Roe, #9912		Date: December 1, 2008
Assisted by: Sgt. Tom Graham, #13293		Date: December 1, 2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

<b>TYPE OF INSPECTION</b> <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Follow-up Inspection	Commander's Signature: 	Date: 12-2-08
For applicable policy, refer to: HPM 11.1, Chapter 22			
1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for <u>contract payable</u> listed on the CHP 78?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks: Business Services Section – Contract Services Unit completes the OPI Tracking Numbers
4. Is the performance of contract services monitored and documented?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
5. Are all copies of correspondence with the vendor maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks: In file by the Administrative Sergeant.
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks: A correspondence log is kept in file for each vendor.
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:



STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

#### Chapter 3, Command Procurements

#### Contracts

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Contracts are started after the start date.
10. Is all work completed and accepted by the Department before expiration of contract agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are contract expenditures monitored to ensure there are sufficient funds to pay for all services rendered as required by contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: A running balance is kept for contracts.
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Depending on the contract the Administrative Sergeant walks with the vendor to ensure job completion.
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: They are completed with assistance of Business Services Section – Contract Service Unit.
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: It would be documented when necessary.
20. Are contract amendment request dollar amounts increased more than 30%?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: No requests have been made.

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

21. Is the length of the contract amendment request more than one year?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Contracts are usually done for two years.
22. Are amendments requested before the expiration of the original contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: If we are going to continue with the same contractor.
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Conference room rental at this Area has not been done.
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Conference room rental at this Area has not been done.
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

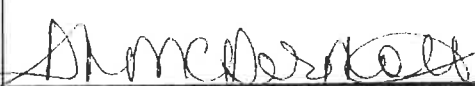
Chapter 3, Command Procurements  
Contracts

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: The Office Manager retains copies of all invoices.
30. Is a log sheet maintained for a diary of activities related to the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: The front desk officer retains a sign in sheet for the contractors.
31. Is a computer file prepared for all contracts administered?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Kept in individual files.
32. Is a spreadsheet prepared listing all expenditures?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Kept in individual files.
33. Is the notification to the contractor documented for the start date for services to begin?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Only if there is a missing invoice.
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: The only consulting services were contracted through Facilities Section, for mold in the walls.
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: The only consulting services were contracted through Facilities Section, for mold in the walls.
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This command does not contract with personal services.
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: Rancho Cucamonga	Division: Inland	Chapter: 3, Command Procurements Contracts
Inspected by: Lt. Roe		Date: 12/01/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: 1/6/09
Chapter Inspection: _____			
Inspector's Comments Regarding Innovative Practices:  None			

Command Suggestions for Statewide Improvement:  None
--

Inspector's Findings:  Within policy, no deficiencies.
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**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**  
Page 3

Command: Rancho Cucamonga	Division: Inland	Chapter: 3, Command Procurements Contracts
Inspected by: Lt. Roe		Date: 12/01/2008

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

N/A

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature:

Date:

Responding Commander's Signature (for appeal):

Date:


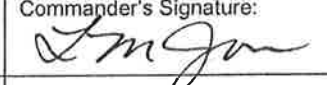
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

Command: <b>Rancho Cucamonga</b>	Division: Inland Division	Number:
Evaluated by: <b>Lt. McDermott</b>		Date: <b>12/01/08</b>
Assisted by: Becky Guzman, OSS		12/01/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Follow-up Inspection		Commander's Signature: 		Date: <b>12-2-08</b>
For applicable policy, refer to: HPM 11.2, Chapter 7				
1. Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Trained by Inland Division staff.
2. Have Approvers/reviewers of purchases received procurement training?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Commander recently received training.
3. Are prohibited items procured on CHP 43, Purchases Requisitions? <ul style="list-style-type: none"><li>Supplies for personally – owned equipment</li><li>Commodities for personal use</li><li>Confirming order</li><li>Purchases via the internet</li></ul>	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: One CHP 43 per vendor.
5. Is all required information entered on the CHP 43, Purchase Requisition?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Sent to Inland Division AGPA first.

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are the CHP 43, Purchase Requisitions, competitively bid?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Still try to get 3 bids.
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Also sent to Division AGPA
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Also sent to Division AGPA
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases


20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Follow up phone calls to the vendors.
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Not done in this Command.



**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: Rancho Cucamonga	Division: Inland	Chapter: 3, Command Procurements Purchases
Inspected by: Lt. McDermott		Date: 12/01/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: 1/6/09

Chapter Inspection:
Inspector's Comments Regarding Innovative Practices:

None

Command Suggestions for Statewide Improvement:
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None

Inspector's Findings:
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Within policy, no deficiencies.

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**  
Page 3

Command: Rancho Cucamonga	Division: Inland	Chapter: 3, Command Procurements Purchases
Inspected by: Lt. McDermott		Date: 12/01/2008

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

N/A

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature:



Date:

1/16/09

Responding Commander's Signature (for appeal):

Date:



STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# **COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST**

Chapter 3, Command Procurements  
X-Number Program

Command: <b>Riverside</b>	Division: Inland (801)	Number:
Evaluated by: <b>Sgt. J. R. Wood, #11577</b>		Date: <b>12/15/2008</b>
Assisted by: <b>OSS1 Maria Sandoval</b>		Date: 12/15/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature: 
		Date: <b>12/24/08</b>		
For applicable policy, refer to: HPM 11.1, Chapter 23				
1. Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Does all X Number file documentation contain the STD. 204 Payee Data Record?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are X Number requests made prior to the date the services are performed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Are X Numbers issued for a one-time use?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are prohibited services performed using an X Number?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

Chapter 3, Command Procurements


X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: <b>Riverside</b>	Division: Inland	Chapter: 3
Inspected by: <b>Sgt. J. R. Wood, #11577</b>		Date: <b>12/15/2008</b>

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TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input checked="" type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: <b>12/24/08</b>
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices: N/A			

Command Suggestions for Statewide Improvement: N/A
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Inspector's Findings:
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1. The X-Number file does not contain current STD 204 (Payee Data Records).
2. The X-Number file does not contain current STD 21 (Drug Free workplace certifications)
3. The X-Number file does not contain the small business certification from DGS.

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 2

Command: Riverside	Division: Inland	Chapter: 3
Inspected by: Sgt. J. R. Wood, #11577		Date: 12/15/2008

**Commander's Response:**

The Area Commander, T.M. McCreary, #11882, will continue to be diligent in ensuring the mandates set forth in Departmental policy regarding management and accountability of the X Number Program are followed.

**Inspector's Comments:**



**Required Action**

**Corrective Action Plan/Timeline**

1. STD 21, STD 204, and small business certification letter discrepancies.

Although the Area had several expired STD 21 & STD 204's on file there were none that were current. There were no small business certification letters on file. To correct these problems a suspense file has been made for these forms, which will prompt the clerical staff to obtain a new form at the time of expiration (3 years). With all new services (X-Number request) the X-Number coordinator will ensure these forms are completed and placed into the suspense file.

STATE OF CALIFORNIA  
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**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Lead Inspector's Signature: 	Date: 12-15-08
Responding Commander's Signature (for appeal): 	Date:



STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

Command: <b>Riverside</b>	Division: Inland	Number: 3
Evaluated by: <b>Sgt. J. R. Wood, #11577</b>		Date: <b>12/15/08</b>
Assisted by:		Date:

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TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Follow-up Inspection		Commander's Signature: 		Date: <b>12/24/08</b>
For applicable policy, refer to: HPM 11.2, Chapter 7				
1. Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Have Approvers/reviewers of purchases received procurement training?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Are prohibited items procured on CHP 43, Purchases Requisitions? <ul style="list-style-type: none"> <li>Supplies for personally – owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Is all required information entered on the CHP 43, Purchase Requisition?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No expedited requests are in log.



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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

### Chapter 3, Command Procurements Purchases

8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are the CHP 43, Purchase Requisitions, competitively bid?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: There are no limited competitive bidding purchase request on file.
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: There are no limited competitive bidding purchase request on file.
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: There are no non-competitive bid purchase request on file.
14. Are items checked immediately for content and damage when delivered?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

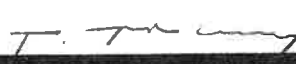
Chapter 3, Command Procurements  
Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: <b>Riverside</b>	Division: Inland	Chapter: 3
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Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: <b>12/24/08</b>
Chapter Inspection: _____			
Inspector's Comments Regarding Innovative Practices: _____ _____ _____			

Command Suggestions for Statewide Improvement: _____ _____ _____
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Inspector's Findings: _____ _____ _____
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Area was found to be in compliance and functioning properly. All purchases were accounted for and properly documented. The Office Assistant was well versed regarding Department policy and procedures relating to purchases.

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 2

Command: <b>Riverside</b>	Division: Inland	Chapter: 3
Inspected by: <b>Sgt. J. R. Wood, #11577</b>		Date: <b>12/15/2008</b>

Commander's Response:

The Area Commander, T. M. McCreary, #11882, will continue to be diligent in ensuring the mandates set forth in Department policy regarding management and accountability of purchases are followed.

Inspector's Comments:

Required Action

Corrective Action Plan/Timeline

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**COMMAND INSPECTION PROGRAM**  
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Page 3

Command: <b>Riverside</b>	Division: Inland	Chapter: 3
Inspected by: <b>Sgt. J. R. Wood, #11577</b>		Date: <b>12/15/2008</b>

**Appeal Process:** *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

**Commander's Basis for Appeal:**

**Appeal Review/Decision:** *(This shall be the only level of appeal).*

**Lead Inspector's Signature:**

**Date:**


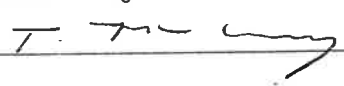
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

Command: <b>Riverside</b>	Division: Inland	Number:
Evaluated by: <b>Sgt. J. R. Wood</b>		Date: <b>12/15/2008</b>
Assisted by:		Date:

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TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection	Commander's Signature: 
Date: <b>12/24/08</b>			
For applicable policy, refer to: HPM 11.1, Chapter 22			
1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	Remarks:	
2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	Remarks:	
3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for <u>contract payable</u> listed on the CHP 78?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	Remarks:	
4. Is the performance of contract services monitored and documented?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	Remarks:	
5. Are all copies of correspondence with the vendor maintained?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	Remarks:	
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	Remarks:	
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	Remarks:	
8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	Remarks:	

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

21. Is the length of the contract amendment request more than one year?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:



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**COMMAND INSPECTION PROGRAM**  
**INSPECTION CHECKLIST**

Chapter 3, Command Procurements  
Contracts


27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained for <u>three years</u> after the final payment of the contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:



**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: <b>Riverside</b>	Division: Inland	Chapter: 3
Inspected by: <b>Sgt. J. R. Wood, #11577</b>		Date: <b>12/15/08</b>

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TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: <b>12/24/08</b>
Chapter Inspection: _____			
Inspector's Comments Regarding Innovative Practices: _____			

Command Suggestions for Statewide Improvement: \_\_\_\_\_

Inspector's Findings: \_\_\_\_\_

There were no contracts written by the Area command. The only contracts in place were written by Headquarters Facilities Section.

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

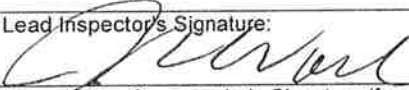
Page 3

Command: <b>Riverside</b>	Division: Inland	Chapter: 3
Inspected by: <b>Sgt. J. R. Wood, #11577</b>		Date: <b>12/15/08</b>

**Appeal Process:** *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

**Appeal Review/Decision:** *(This shall be the only level of appeal).*

Lead Inspector's Signature: 	Date: <b>12-15-08</b>
Responding Commander's Signature (for appeal):	Date:


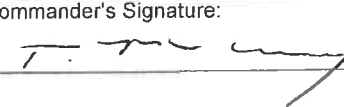
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Cal-Card Program

Command: <b>Riverside</b>	Division: Inland	Number:
Evaluated by: <b>SGT. J. R. Wood, #11577</b>		Date: <b>12/15/2008</b>
Assisted by: <b>OSS1 Maria Sandoval</b>		Date: 12/15/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection	Commander's Signature: 
Date: <b>12/24/08</b>			
For applicable policy, refer to: HPM 11.2, Chapter 3			
1. Are all employees associated with the use of the Cal-Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks: Not yet written into manual.
2. Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks: There are no vendors used for Waste Management.
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks: Fair and reasonable method was not utilized.
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
8. Does the CHP 317 Cal Card Log fully describe the purchase?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST


Chapter 3, Command Procurements  
Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: <b>Riverside</b>	Division: Inland	Chapter: 3
Inspected by: <b>Sgt. J. R. Wood, #11577</b>		Date: <b>12/15/2008</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input checked="" type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: <b>12/24/08</b>
Chapter Inspection: _____			
Inspector's Comments Regarding Innovative Practices: N/A			

Command Suggestions for Statewide Improvement:

Inspector's Findings:

1. Policy regarding the CHP 78S is not currently written into HPM 11.1, as it relates to Cal Card Purchases. It is however on the check-sheet. It was found a revision to HPM 11.1 will be completed in the future which will make the CHP 78S mandatory.
2. There are no current STD 21 (Drug Free Workplace certifications) maintained within the Cal Card command file for each vendor utilized.
3. There are no current STD 204 (Payee Data Record forms) maintained within the Cal Card command file for each vendor utilized.
4. There are no DGS certification letters for small business or DVBE maintained within the Cal Card command file for each small business utilized.

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**  
Page 2

Command: <b>Riverside</b>	Division: Inland	Chapter: 3
Inspected by: <b>Sgt. J. R. Wood, #11577</b>		Date: <b>12/15/08</b>

**Commander's Response:**

The Area Commander, T. M. McCreary, #11882, will continue to be diligent in ensuring the mandates set forth in Departmental policy regarding management and accountability of the Cal-Card Program are followed.

**Inspector's Comments:**

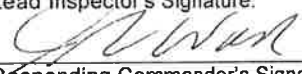
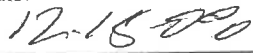
**Required Action**

**Corrective Action Plan/Timeline**

1. STD 21, STD 204, and small business or DVBE certification letter discrepancies. Although the Area had several expired STD 21 & STD 204's on file there were none that were current. There were no small business certification letters on file. To correct these problems a suspense file will be made for these forms, which will prompt the clerical staff to obtain a new form at the time of expiration (3 years). With all new purchases the Cal Card holders will ensure these forms are completed and placed into the suspense file.



STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Lead Inspector's Signature: 	Date: 
Responding Commander's Signature (for appeal):	Date:

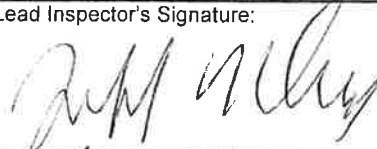
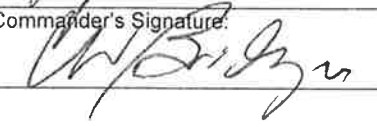
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

Command: <b>Barstow</b>	Division: <b>Inland</b>	Number:
Evaluated by: <b>Lieutenant Jeffrey Klug</b>		Date: <b>12-02-08</b>
Assisted by: <b>Rosanna Lafler</b>		Date: <b>12-02-08</b>

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:		
<input type="checkbox"/> Division Level <input type="checkbox"/> Executive Office Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Voluntary Self-Inspection				
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature:  Date: <b>12-20-08</b>
For applicable policy, refer to: HPM 11.2, Chapter 7				
1. Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Bobbie Spliethof has been recently assigned to this position and her training is on-going.
2. Have Approvers/reviewers of purchases received procurement training?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Captain Bridges and Lieutenant Klug received training at MMTC.
3. Are prohibited items procured on CHP 43, Purchases Requisitions?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
<ul style="list-style-type: none"> <li>Supplies for personally – owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>				
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Is all required information entered on the CHP 43, Purchase Requisition?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Two requisitions were issued the same number.
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are the CHP 43, Purchase Requisitions, competitively bid?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Audit revealed requisition # 8513 had no CHP 315 attached.
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

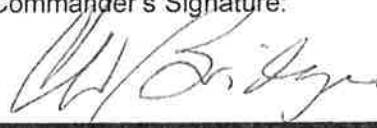
Chapter 3, Command Procurements  
Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: <b>Barstow Area</b>	Division <b>Inland:</b>	Chapter: <b>Three</b>
Inspected by: <b>Lieutenant Jeffrey Klug</b>		Date: <b>12-03-08</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: 12-10-08
Chapter Inspection: Chapter 3, Command Procurements/Purchases			
Inspector's Comments Regarding Innovative Practices:			

Command Suggestions for Statewide Improvement:

Inspector's Findings:

6 & 10 Two separate requisitions were issued the same number (8513) and requisition number 8513 had three price quotes but no Price Comparison Worksheet (CHP 315) was attached. Barstow Area corrected the problem with the same number being issued for two separate requisitions and attached a CHP 315 with requisition number 8513.

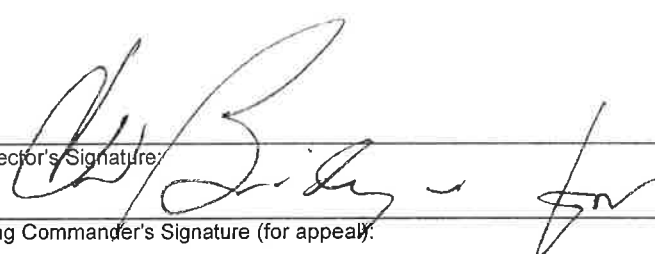
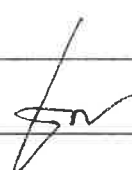
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**  
Page 3

Command:	Division:	Chapter:
Inspected by:		Date:

**Appeal Process:** *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

**Commander's Basis for Appeal:**

**Appeal Review/Decision:** *(This shall be the only level of appeal).*

Lead Inspector's Signature: 	Date: 12-10-08
Responding Commander's Signature (for appeal): 	Date:

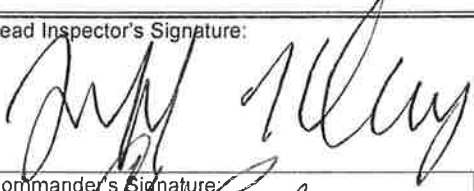
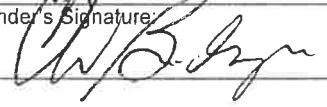
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Cal-Card Program

Command: <b>Barstow</b>	Division: <b>Inland</b>	Number:
Evaluated by: <b>Lieutenant Jeffrey Klug</b>		Date: <b>12-03-08</b>
Assisted by: <b>Rosanna Lafler</b>		Date: <b>12-03-08</b>

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

<b>TYPE OF INSPECTION</b> <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		<b>Lead Inspector's Signature:</b> 	
<b>Follow-up Required:</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection	<b>Commander's Signature:</b> 
<b>Date:</b> <b>12.3.08</b>			
For applicable policy, refer to: HPM 11.2, Chapter 3			
1. Are all employees associated with the use of the Cal-Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
2. Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
8. Does the CHP 317 Cal Card Log fully describe the purchase?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Cal-Card Program

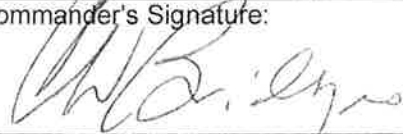
10. Is the CHP 317 Cal Card Log properly authorized and maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:



**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Command: <b>Barstow Area</b>	Division <b>Inland:</b>	Chapter: <b>Three</b>
Inspected by: <b>Lieutenant Jeffrey Klug</b>		Date: <b>12-03-08</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: <b>12-10-08</b>
Chapter Inspection: Chapter 3, Command Procurements/Cal-Card Program			
Inspector's Comments Regarding Innovative Practices:			

Command Suggestions for Statewide Improvement:
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Inspector's Findings:
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1. Only one employee utilizing the Cal-Card program had a completed CHP 78S. Area had all Cal-Card program employees complete a CHP 78S. All CHP 78S's were placed in their personnel files.
2. No STD 21 Drug Free Workplace certifications were located within the Cal Card command file for each vendor utilized. Area has established a process to ensure a STD 21 is kept on file for each vendor utilized.

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

3. No STD 204 Payee Data Record forms were located within the Cal Card command file for each vendor utilized. Area has established a process to ensure a STD 204 is kept on file for each vendor utilized.
4. No California Integrated Waste Management Board Form 74 documents were maintained on file for each vendor utilized. Area has established a process to ensure Form 74 documents are kept on file for each vendor utilized.
5. No certification letters from the Department of General Services were maintained on file for each vendor utilized. Area has established a process to ensure certification letters are kept on file for each vendor utilized.

Command:	Division:	Chapter:
Inspected by:		Date:

Page 2

Commander's Response:

Inspector's Comments:

Required Action

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Corrective Action Plan/Timeline

Page 3

Command: <b>Barstow</b>	Division: <b>Inland Division</b>	Chapter: <b>3 (Cal Card)</b>
Inspected by: <b>Jeffrey Klug</b>		Date: <b>12-03-09</b>

**Appeal Process:** *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

**Commander's Basis for Appeal:**

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature: 	Date: 12-3-08
Responding Commander's Signature (for appeal):	Date:

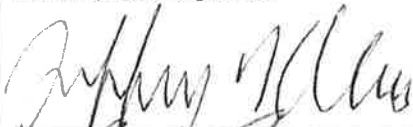
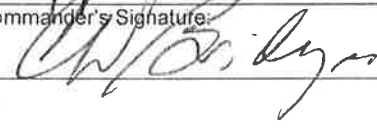
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
X-Number Program

Command: <b>Barstow</b>	Division: <b>Inland</b>	Number:
Evaluated by: <b>Lieutenant Jeffrey Klug</b>		Date: <b>12-09-08</b>
Assisted by: <b>Rosanna Lafler</b>		Date: <b>12-09-08</b>

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:		
<input type="checkbox"/> Division Level <input type="checkbox"/> Executive Office Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Voluntary Self-Inspection				
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature:  Date: <b>12-10-08</b>
For applicable policy, refer to: HPM 11.1, Chapter 23				
1. Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Does all X Number file documentation contain the STD. 204 Payee Data Record?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Barstow Area will ensure all x numbers will contain a STD 204.
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are X Number requests made prior to the date the services are performed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Are X Numbers issued for a one-time use?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are prohibited services performed using an X Number?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

Chapter 3, Command Procurements


X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Barstow Area will ensure all x numbers awarded to small business will have a small business certificate from DGS.
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Barstow Area will ensure all x numbers will contain a STD 21.
14. Do emergency service X Numbers document and justify the emergency?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: <b>Barstow Area</b>	Division <b>Inland:</b>	Chapter: <b>Three</b>
Inspected by: <b>Lieutenant Jeffrey Klug</b>		Date: <b>12-09-08</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: <b>12-10-08</b>
Chapter Inspection: Chapter 3, X-Number Program			
Inspector's Comments Regarding Innovative Practices:			

Command Suggestions for Statewide Improvement:

Inspector's Findings:

2. Barstow Area will ensure all x numbers will contain a STD 204.
12. Barstow Area will ensure all x numbers awarded to small business will have a small business certificate from DGS.
13. Barstow Area will ensure all x numbers will contain a STD 21.

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Command: <b>Barstow</b>	Division: <b>Inland</b>	Chapter: <b>3 ( X numbers)</b>
Inspected by: <b>Jeffrey Klug</b>		Date: <b>12-09-08</b>

Page 2

Commander's Response:

Inspector's Comments:

Required Action

Corrective Action Plan/Timeline



STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Command: <b>Barstow</b>	Division: <b>Inland</b>	Chapter: <b>3 (X numbers)</b>
Inspected by: <b>Jeffrey Klug</b>		Date: <b>12-09-08</b>

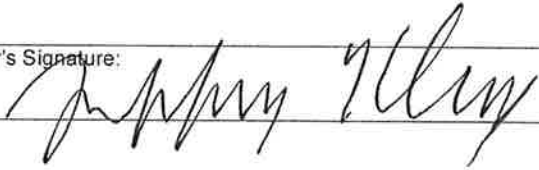
Page 3

**Appeal Process:** *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

**Commander's Basis for Appeal:**

**Appeal Review/Decision:** *(This shall be the only level of appeal).*

Lead Inspector's Signature:



Date:

**12-9-08**

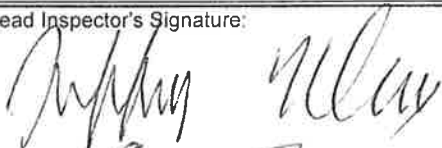
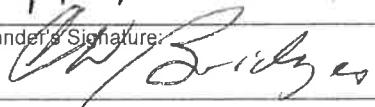
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# **COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST**

Chapter 3, Command Procurements  
Contracts

Command: <b>Barstow</b>	Division: <b>Inland</b>	Number:
Evaluated by: <b>Lieutenant Jeffrey Klug</b>		Date: <b>12-04-08</b>
Assisted by: <b>Rosanna Lafler</b>		Date: <b>12-04-08</b>

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

<b>TYPE OF INSPECTION</b> <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		<b>Lead Inspector's Signature:</b> 	
<b>Follow-up Required:</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection <b>Commander's Signature:</b>  <b>Date:</b> 12-10-08	
For applicable policy, refer to: HPM 11.1, Chapter 22			
1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
4. Is the performance of contract services monitored and documented?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
5. Are all copies of correspondence with the vendor maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are contract expenditures monitored to ensure there are sufficient funds to pay for all services rendered as required by contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Updated and maintained in each personnel file.
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

21. Is the length of the contract amendment request more than one year?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No contracts for room rental obtained.
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No contracts for room rental obtained.
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No agreement/contracts were obtained for more than 30 days.

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

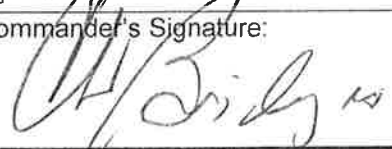
Chapter 3, Command Procurements  
Contracts

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No agreement/contracts were obtained for more than 30 days.
29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Updated file.
32. Is a spreadsheet prepared listing all expenditures?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Updated file.
33. Is the notification to the contractor documented for the start date for services to begin?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No consultant service contracts were obtained.
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No consultant service contracts were obtained.
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Command: <b>Barstow Area</b>	Division: <b>Inland:</b>	Chapter: <b>Three</b>
Inspected by: <b>Lieutenant Jeffrey Klug</b>		Date: <b>12-04-08</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: <b>12-10-08</b>
Chapter Inspection: Chapter 3, Command Procurements/Contracts			
Inspector's Comments Regarding Innovative Practices:			

Command Suggestions for Statewide Improvement:

Inspector's Findings:

18. All employees associated with the management of contracts completed a CHP 78S. All CHP 78S's were placed in each employee's personnel file.
31. The Barstow Area computer file of all contracts was updated.
32. The Barstow Area spreadsheet of all contracts was updated.

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 5

Command: <b>Barstow</b>	Division: <b>Inland</b>	Chapter: 3 (Procurements/Contracts)
Inspected by: <b>Jeffrey Klug</b>		Date: <b>12-04-08</b>

Commander's Response:

Inspector's Comments:

Required Action

Corrective Action Plan/Timeline

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 3

Command: Barstow	Division: Inland	Chapter: 3 (Procurements/Contracts)
Inspected by: Jeffrey Klug		Date: 12-04-09

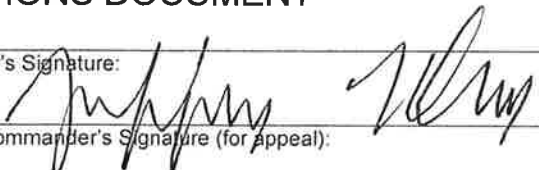
Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

Appeal Review/Decision: *(This shall be the only level of appeal).*



STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Lead Inspector's Signature: 	Date: 12.4.08
Responding Commander's Signature (for appeal):	Date:

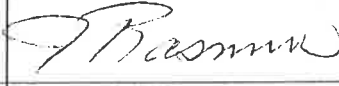
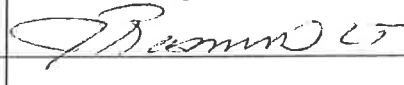
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# **COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST**

Chapter 3, Command Procurements  
Purchases

Command: <b>Needles</b>	Division: Inland	Number: 834
Evaluated by: <b>Lt. J. P. Rasmussen</b>		Date: 01/05/2009
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Follow-up Inspection		Commander's Signature: 		Date: 01/05/2009
For applicable policy, refer to: HPM 11.2, Chapter 7				
1. Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Have Approvers/reviewers of purchases received procurement training?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Commander and OAI
3. Are prohibited items procured on CHP 43, Purchases Requisitions? <ul style="list-style-type: none"><li>• Supplies for personally – owned equipment</li><li>• Commodities for personal use</li><li>• Confirming order</li><li>• Purchases via the internet</li></ul>	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
5. Is all required information entered on the CHP 43, Purchase Requisition?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:



STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

### Chapter 3, Command Procurements Purchases

8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are the CHP 43, Purchase Requisitions, competitively bid?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area does not accept damaged items.

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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST


Chapter 3, Command Procurements  
Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	X Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	X Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	X Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	<input type="checkbox"/> Yes	X No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: <b>Needles</b>	Division: Inland	Chapter: 3
Inspected by: <b>Lt. J. P. Rasmussen</b>		Date: <b>01/05/2009</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: Inland Division  Due Date: 12/31/2009	Commander's Signature: 	Date: 01/05/2009
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices:			

N/A

Command Suggestions for Statewide Improvement:

N/A

Inspector's Findings:

All CHP 43 Purchase Requisitions and CHP 315 Price Comparison forms are maintained in a three ring binder in the clerical office. All paperwork is readily accessible along with a log for tracking of all requisitions. The Area Commander takes an active role and approves all requisitions and for the most part has completed a majority of the requisitions himself. Outside of quarterly requisitions only budget items requisitions have been completed.

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**  
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Command: <b>Needles</b>	Division: Inland	Chapter: 3
Inspected by: <b>Lt. J. P. Rasmussen</b>		Date: <b>01/05/2009</b>

Commander's Response:

Command takes an active role in the decision to make purchases, completion of all requisition documentation and monitors the delivery of items purchased. The commander routinely discusses the status of requisitions with the clerical staff.

Inspector's Comments:

N/A

Required Action **None**

Corrective Action Plan/Timeline

N/A

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**  
Page 3

Command: <b>Needles</b>	Division: Inland	Chapter: 3
Inspected by: <b>Lt. J. P. Rasmussen</b>		Date: <b>01/05/2009</b>


Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

N/A

Appeal Review/Decision: *(This shall be the only level of appeal).*

N/A

Lead Inspector's Signature: 	Date: <b>01/05/2009</b>
Responding Commander's Signature (for appeal):	Date:




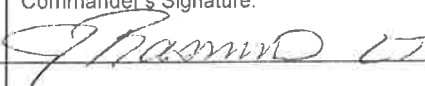
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
X-Number Program

Command: <b>Needles</b>	Division: Inland	Number: 834
Evaluated by: <b>Lt. J. P. Rasmussen</b>		Date: 01/05/2009
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection	Commander's Signature:  Date: 01/05/2009
For applicable policy, refer to: HPM 11.1, Chapter 23			
1. Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
2. Does all X Number file documentation contain the STD. 204 Payee Data Record?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A      Remarks:
4. Are X Number requests made prior to the date the services are performed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
5. Are X Numbers issued for a one-time use?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
6. Are prohibited services performed using an X Number?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A      Remarks:
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A      Remarks:
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A      Remarks:

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## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

Chapter 3, Command Procurements


X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	X Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	X Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	X Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	X Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Command: <b>Needles</b>	Division: Inland	Chapter: 3
Inspected by: Lt. J. P. Rasmussen		Date: 01/05/2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level   X   Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes      X   No	Forward to: Inland Division  Due Date: 12/31/2008	Commander's Signature: 	Date: 01/05/2009
Chapter Inspection: Chapter 3 Command Procurements X-Number Program			
Inspector's Comments Regarding Innovative Practices:			

N/A

Command Suggestions for Statewide Improvement:

Now that all X Numbers are issued by Facilities Section rather than Division offices, Facilities Section has to increase their authorization time after a request is made. Area has been waiting 7 weeks for authorization to fix exterior security lighting for the Area office.

Inspector's Findings:

All paperwork for the X Numbers drawn during this inspection period was complete and located filed in a 3 ring binder in the clerical office. One of the vendors providing service for an emergency repair to the air conditioning service was completed by the contract vendor. This repair was outside the normal services required by the contract so an X Number was used.

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**COMMAND INSPECTION PROGRAM**  
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Command: <b>Needles</b>	Division: Inland	Chapter: 3
Inspected by: <b>Lt. J. P. Rasmussen</b>		Date: <b>01/05/2009</b>

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Commander's Response:

N/A

Inspector's Comments:

N/A

Required Action **None**

Corrective Action Plan/Timeline

N/A

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**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 3

Command: <b>Needles</b>	Division: Inland	Chapter: 3
Inspected by: Lt. J. P. Rasmussen		Date: 01/05/2009

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

N/A

Appeal Review/Decision: *(This shall be the only level of appeal).*


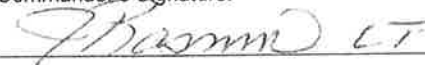
N/A

Lead Inspector's Signature: 	Date: 01/05/2009
Responding Commander's Signature (for appeal):	Date:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**INSPECTION CHECKLIST**  
Chapter 3, Command Procurements  
Contracts

Command: <b>Needles</b>	Division: Inland	Number: 834
Evaluated by: <b>Lt. J. P. Rasmussen</b>		Date: 01/05/2009
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level                      X Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input type="checkbox"/> Yes              X No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature: 
Date: 01/05/2009				
For applicable policy, refer to: HPM 11.1, Chapter 22				
1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:
2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:
3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for <u>contract payable</u> listed on the CHP 78?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:
4. Is the performance of contract services monitored and documented?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:
5. Are all copies of correspondence with the vendor maintained?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:
8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:

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## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:

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**COMMAND INSPECTION PROGRAM****INSPECTION CHECKLIST**

Chapter 3, Command Procurements

Contracts

21. Is the length of the contract amendment request more than one year?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	X Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Coordinated through Area with Contracts Management Unit.
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	<input type="checkbox"/> Yes	<input type="checkbox"/> No	X N/A	Remarks:



STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

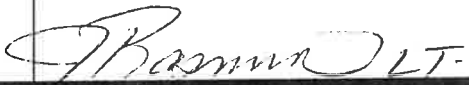
Chapter 3, Command Procurements  
Contracts

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained for <u>three years</u> after the final payment of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Command: <b>Needles</b>	Division: Inland	Chapter: 3
Inspected by: <b>Lt. J. P. Rasmussen</b>		Date: <b>01/05/2009</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: Inland Division  Due Date: 12/31/2008	Commander's Signature: 	Date: 01/05/2009
Chapter Inspection: Chapter 3 Command Procurements Contracts			
Inspector's Comments Regarding Innovative Practices:			

N/A

Command Suggestions for Statewide Improvement:

N/A

Inspector's Findings:

The Needles Area has not originated any contracts at the Area level. Any contracts involving the Area have been set up and approved through the Contracts Management Unit (CMU). Area has assisted with collecting the fingerprints and driver License printout for the Janitorial contract and forwarded them to CMU.

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Command: <b>Needles</b>	Division: Inland	Chapter: 3
Inspected by: <b>Lt. J. P. Rasmussen</b>		Date: <b>01/05/2009</b>

Page 2

Commander's Response:

Area has only monitored work completed at the Area by vendors under contract by the State. All preparation and approval of billing statements is handled through CMU.

Inspector's Comments:

N/A

Required Action **None**

Corrective Action Plan/Timeline

N/A

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

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Command: <b>Needles</b>	Division: Inland	Chapter: 3
Inspected by: Lt. J. P. Rasmussen		Date: 01/05/2009

**Appeal Process:** *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

**Commander's Basis for Appeal:**

N/A

**Appeal Review/Decision:** *(This shall be the only level of appeal).*

N/A

Lead Inspector's Signature:



Date:  
01/05/2009

Responding Commander's Signature (for appeal):

Date:


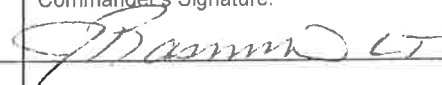
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Cal-Card Program

Command: <b>Needles</b>	Division: Inland	Number: 834
Evaluated by: <b>Lt. J. P. Rasmussen</b>		Date: 01/05/2009
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level                      X Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: X Yes <input type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature: 
Date: 01/05/2009				
For applicable policy, refer to: HPM 11.2, Chapter 3				
1. Are all employees associated with the use of the Cal-Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	X Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	X Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	X Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	X Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	<input type="checkbox"/> Yes	X No	<input type="checkbox"/> N/A	Remarks: Some business's a State contract is signed. Other business's the certification letter will be filed in the future.
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	<input type="checkbox"/> Yes	X No	<input type="checkbox"/> N/A	Remarks: The statement is reviewed on the CHP 317. In the future a statement will be documented on the paperwork for each purchase.
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	<input type="checkbox"/> Yes	X No	<input type="checkbox"/> N/A	Remarks:
8. Does the CHP 317 Cal Card Log fully describe the purchase?	X Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	X Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

Chapter 3, Command Procurements


Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area's second Cal Card holder has not attended the training.
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Command: <b>Needles</b>	Division: Inland	Chapter: 3
Inspected by: <b>Lt. J. P. Rasmussen</b>		Date: <b>01/05/2009</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		X Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Forward to: Inland Division  Due Date: 12/31/2008	Commander's Signature: 	Date:  01/05/2009
Chapter Inspection: Chapter 3 Command Procurements Cal Card Program			
Inspector's Comments Regarding Innovative Practices:			

N/A

Command Suggestions for Statewide Improvement:

N/A

Inspector's Findings:

The certification letter regarding small businesses or DVBE from the Department of General Services (DGS) was not attached to some of the statements for the Cal Card for vendors that the state does not have a contract with.

No separate documentation was prepared "regarding fair and reasonable" when making purchases with the Cal Card. The statement is reviewed on the CHP 317 Cal Card statement when purchases are made.

The Area Commander and one of the Cal Card holders have attended procurement training. When local training is provided in the future the second Cal Card holder will be scheduled to attend.

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 2

Command: Needles	Division: Inland	Chapter: 3
Inspected by: Lt. J. P. Rasmussen		Date: 01/05/2009

Commander's Response:

Area will ensure a copy of the certification letter from DGS will be attached to all Cal Card invoices. Area was unaware that separate documentation was suppose to made regarding "fair and reasonable" when making purchases with the Cal Card. A separate notation will be made in the future. Additionally, Area was not aware that all Cal Card holders were required to attend procurement training. The second Cal Card holder will attend this training when available.

Inspector's Comments:

N/A

Required Action:

1. Area shall ensure a copy of the certification letter from DGS for small businesses and DVBE is maintained in file when a vendor meting the requirements is used.
2. A separate statement will be documented on the paperwork for Cal Card purchases regarding "fair and reasonable" selection process was used when making purchases.
3. Areas second Cal Card holder will attend procurement training when available.

Corrective Action Plan/Timeline

Items #1 and #2 listed above will be done immediately when items are purchased. Item # 3 will be completed when procurement training is scheduled locally within the Division.



**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**  
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Command: <b>Needles</b>	Division: Inland	Chapter: 3
Inspected by: <b>Lt. J. P. Rasmussen</b>		Date: <b>01/05/2009</b>

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*


Commander's Basis for Appeal:

N/A

Appeal Review/Decision: *(This shall be the only level of appeal).*

N/A

Lead Inspector's Signature:



Date:

01/05/2009


Responding Commander's Signature (for appeal):

Date:

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: <b>Bishop</b>	Division: Inland	Chapter: 3
Inspected by: <b>Sgt. Stephens, #10174</b>		Date: <b>01/13/09</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: 1/13/09
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices:			

Inspector has not identified any discrepancies. Area follows proper policy and procedures.

Command Suggestions for Statewide Improvement:

Bishop Area strictly adheres to policy and closely monitors all transactions.

Inspector's Findings:

Bishop Area Supervisors currently conduct quarterly audits of Command Procurements. No discrepancies were noted and all paperwork follows policy as outlined in HPM 11.2, Chapter 3.

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 2

Command: <b>Bishop</b>	Division: Inland	Chapter: 3
Inspected by: <b>Sgt. Stephens, #10174</b>		Date: <b>01/13/09</b>

**Commander's Response:**

Commander assumes responsibility for the Bishop Command and ensures all policies and procedures are strictly adhered to.

**Inspector's Comments:**

Management monitors Command procurements through quarterly audits and inspections.

**Required Action**

**Corrective Action Plan/Timeline**

None

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Command: <b>Bishop</b>	Division: Inland	Chapter: 3
Inspected by: <b>Sgt. Stephens, #10174</b>		Date: <b>01/13/09</b>


Page 3

**Appeal Process:** *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

**Commander's Basis for Appeal:**

N/A

**Appeal Review/Decision:** *(This shall be the only level of appeal).*

Lead Inspector's Signature: 	Date: <b>1-13-2009</b>
Responding Commander's Signature (for appeal):	Date:

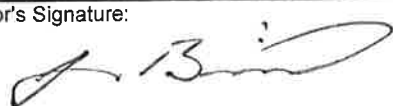
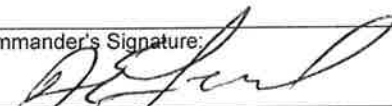
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

Command: <b>Mojave Area</b>	Division: <b>Inland</b>	Number: <b>830</b>
Evaluated by: <b>J. Baird, #10680, Sgt.</b>		Date: <b>12/05/2008</b>
Assisted by: <b>N/A</b>		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Follow-up Inspection		Commander's Signature: 		Date: <b>12-15-8</b>
For applicable policy, refer to: HPM 11.2, Chapter 7				
1. Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Participants in the procurement process are familiar with HPM 11.2, Chapter 7, and related policies.
2. Have Approvers/reviewers of purchases received procurement training?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area approvers/reviewers have received training in the procurement process.
3. Are prohibited items procured on CHP 43, Purchases Requisitions? <ul style="list-style-type: none"> <li>Supplies for personally – owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: A random sampling of completed CHP 43's was conducted. None were found to contain prohibited items.
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Is all required information entered on the CHP 43, Purchase Requisition?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: A random sampling of completed CHP 43's was conducted. All CHP 43's were found to contain the required information.
6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: All CHP 43's were found to be properly numbered.
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are the CHP 43, Purchase Requisitions, competitively bid?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: CHP 315's were found to contain two price quotes for acquisitions valued at less than \$5,000.
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Area had no limited competitive bidding purchases.
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Area had no limited competitive bidding purchases.
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Not applicable at the Area level.
14. Are items checked immediately for content and damage when delivered?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Items received at Area are immediately checked for content and damage. Employees are aware damage must be noted on the delivery receipt/slip.
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area ensures purchase orders are approved, dated, and forwarded to FMS within three business days of receipt.
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Employee's are aware that damaged items delivered by the supplier's employee are to be refused.

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

Chapter 3, Command Procurements

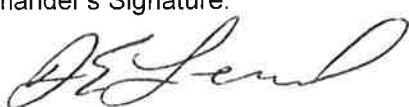
Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area follows up on all purchase orders that remain open beyond a reasonable time period.
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Copies of purchase requisitions/orders are maintained in the command files in accordance with current policy.
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Not applicable at the Area level.
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area does no split purchase orders to circumvent policy.

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**  
Page 1

Command: <b>Mojave Area</b>	Division: <b>Inland</b>	Chapter: 3 (Purchases)
Inspected by: <b>J. Baird, #10680. Sgt.</b>		Date: <b>12/05/2008</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: <b>Inland Division</b>  Due Date: 12/31/2008	Commander's Signature: 	Date: <b>12-15-8</b>
<b>Chapter Inspection: Chapter 3, Command Procurements/Purchases</b>			
Inspector's Comments Regarding Innovative Practices:			

None.

Command Suggestions for Statewide Improvement:

None.

Inspector's Findings:

The Mojave Area commander, Lieutenant Leach, #11073, was interviewed regarding his role as it relates to purchase procedures. He is aware it is his responsibility when signing the CHP 43 that the requested item(s) meet the guidelines outlined in departmental policy. He ensures his designee is aware of this responsibility as well. Area personnel involved in the acquisition process are familiar with departmental policy as it relates to inconsistent and incompatible activities.

A random inspection of several CHP 43's was conducted to determine compliance with departmental policy. The command file contains properly completed CHP 43's and copies of all related paperwork are



**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**  
Page 2

Command: <b>Mojave Area</b>	Division: <b>Inland</b>	Chapter: 3 (Purchases)
Inspected by: <b>J. Baird, #10680. Sgt.</b>		Date: <b>12/05/2008</b>

attached. Each CHP 43 was found to be properly completed and numbered consecutively. CHP 43's were signed by the commander or his designee. When required, Division approval was obtained for specialized items. Area does not split purchase orders to evade the bidding requirements. CHP 43's were submitted to PSU with all required attachments. Copies of purchase requisitions and purchase orders are maintained in Area's command files for three years as required by departmental policy.

Items delivered to Area are checked immediately for content and damage. Area is aware of the proper procedure to follow when damaged items are received. When all items are acceptable (no damage), the "received copy" of the purchase order is approved, dated and forwarded to FMS within three business days as required by policy. Area is aware of the procedure to follow when a partial shipment is received.

The Mojave Area purchases program is in compliance with current departmental policies and procedures.

Commander's Response:

Mojave Area is in compliance with current policy for purchases outlined in Chapter 3.

Inspector's Comments:

N/A

Required Action

Corrective Action Plan/Timeline

N/A

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 3

Command: <b>Mojave Area</b>	Division: <b>Inland</b>	Chapter: 3 (Purchases)
Inspected by: <b>J. Baird, #10680. Sgt.</b>		Date: <b>12/05/2008</b>

**Appeal Process:** *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

**Commander's Basis for Appeal:**

N/A

**Appeal Review/Decision:** *(This shall be the only level of appeal).*

N/A

Lead Inspector's Signature:



Date:

*12-13-08*

Responding Commander's Signature (for appeal):

Date:


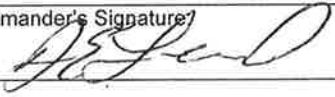
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Cal-Card Program

Command: <b>Mojave Area</b>	Division: <b>Inland</b>	Number: <b>830</b>
Evaluated by: <b>J. Baird, #10680, Sgt.</b>		Date: <b>10/29/2008</b>
Assisted by: <b>N/A</b>		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION  <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature:  Date: 12-15-8
For applicable policy, refer to: HPM 11.2, Chapter 3				
1. Are all employees associated with the use of the Cal-Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: An inspection of the Cal Card command file was conducted. CHP 78S's are maintained in the file for each of Area's Cal Card holders (OSSI Palmer, #A5130, and Officer Gohr, #12650).
2. Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: An inspection of the Cal Card command file was conducted and the STD 21 forms were attached to vendor files.
3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: An inspection of the Cal Card command file was conducted and the STD 204 forms were attached to vendor files.
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: An inspection of the Cal Card command file was conducted and the CIWMB Form 74's were attached to vendor files as appropriate. Copies of the Form 74 are attached to the CHP 317 Cal Card Log as required.
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: An inspection of the Cal Card command file was conducted and Small, Micro, and/or Disabled Veteran-owned certification letters from DGS were attached to vendor files as appropriate.
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area adheres to policy and does not split multiple transactions to circumvent purchase limits.

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Cal-Card Program


8. Does the CHP 317 Cal Card Log fully describe the purchase?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: An inspection of the Cal Card command file indicated bank statements are reconciled with the CHP 317 within three days of receipt as required by policy. The commander reviews and approves documents.
10. Is the CHP 317 Cal Card Log properly authorized and maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: An inspection of the Cal Card command file was conducted and it was found that itemized receipts/invoices were attached to the CHP 317. Area is aware of the procedure to follow if an item is purchased and the supplier does not provide an itemized receipt/invoice.
13. Are Cal Cards maintained in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Both of Area's Cal Card holders (OSSI Palmer, #A5130, and Officer Gohr, #12650) maintain their respective Cal Cards in secure locations.
14. Are Cal Card purchases pre-approved by the commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: In the Area commander's absence, OSSI Palmer, #A5130, has been authorized to pre-approve Cal Card Purchases. This authorization is documented in Area's Standard Operating Procedures.
15. Have all cardholders received training on the Department's procurement processes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: OSSI Palmer, #A5130, and Officer Gohr, #12065, are the only Cal Card holders at the Mojave Area. They have both received the appropriate training. CHP 317A's are on file for each Cal Card holder.
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 1

Command: <b>Mojave Area</b>	Division: <b>Inland</b>	Chapter: <b>3 (Cal Card)</b>
Inspected by: <b>J. Baird, #10680. Sgt.</b>		Date: <b>10/29/2008</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: <b>Inland Division</b> Due Date: 12/31/2008	Commander's Signature: 	Date: <b>12-15-8</b>
Chapter Inspection: Chapter 3, Command Procurements/Cal-Card Program			
Inspector's Comments Regarding Innovative Practices:			

None.

Command Suggestions for Statewide Improvement:

None.

Inspector's Findings:

The Mojave Area commander, Lieutenant Leach, was interviewed regarding his role as it relates to the Cal Card program. He related the overall function of the Cal Card program is his responsibility. He has a hands on approach in the oversight of the program and pre-approves all purchases. He has designated OSSI Palmer, #A5130, the responsibility of pre-approving purchases in his absence. He reviews all purchases, CHP 317's, bank statements and invoices/receipts.

The Mojave Area has two Cal Card cardholders. Each cardholder is aware of the security responsibilities of the Cal Card and its proper use. The cardholders have attended training in the use of

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 2

Command: <b>Mojave Area</b>	Division: <b>Inland</b>	Chapter: <b>3 (Cal Card)</b>
Inspected by: <b>J. Baird, #10680. Sgt.</b>		Date: <b>10/29/2008</b>

the card and understand the policies and procedures contained in HPM 11.2, Chapter 3, Cal Card Program. Training has been documented on a CHP 317A, Cal Card Holder Acknowledgment and Responsibility form, which is retained in the Cal Card command file. Duties and responsibilities of the cardholders are documented in the Area's Standard Operating Procedures.

A random inspection of several CHP 317's, Cal Card Log, was conducted to determine compliance with departmental policy. Each transaction was found to be adequately explained and the purposes of the purchases were documented. Each expenditure was verified with its corresponding invoice. Receipts were found to contain the name of the vendor, description of item, quantity purchased, price per item and amount of sales tax. Each expenditure was found to have been pre-approved by the Area commander. All purchases were within the \$1,000 limit. Splitting purchases to circumvent the single purchase limit does not occur. Each CHP 317 contained the appropriate signatures.

The random inspection also included a review of several Cal Card bank statements. The postmarked bank statement envelope was retained and attached to the bank statement. Each bank statement was reconciled with the supplier receipts/invoices. No items were found to have been returned, therefore there were no credits to verify. All documents were reconciled, reviewed by the Area commander and forwarded to Inland Division within the three day limit.

A review of required documents to comply with the Governor's Executive Orders and mandated legislation was conducted. Area's Cal Card command file was found to contain the following documents, where required: STD. 21, Drug-Free Workplace Certification; STD. 204, Payee Data Record; California Integrated Waste Management Board, CIWMB 74, California Certified Small, Micro, and/or Disabled Veteran-owned Certification Letter; and Fair and Reasonable Certification.

The Mojave Area Cal Card program is in compliance with current departmental policies and procedures.

Commander's Response:

The Cal Card program within the Mojave Area is in compliance with all current policies and procedures. Much of the credit belongs to OSSI Sandra Palmer.

Inspector's Comments:

N/A

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 3

Command: <b>Mojave Area</b>	Division: <b>Inland</b>	Chapter: <b>3 (Cal Card)</b>
Inspected by: <b>J. Baird, #10680. Sgt.</b>		Date: <b>10/29/2008</b>

Required Action

Corrective Action Plan/Timeline

N/A

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

N/A

Appeal Review/Decision: *(This shall be the only level of appeal).*

N/A

Lead Inspector's Signature:

Date:

*12.5.08*

Responding Commander's Signature (for appeal):

Date:


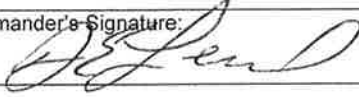
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
X-Number Program

Command: <b>Mojave Area</b>	Division: <b>Inland</b>	Number: <b>830</b>
Evaluated by: <b>J. Baird, 10680, Sgt.</b>		Date: <b>11/03/2008</b>
Assisted by: <b>N/A</b>		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection	Commander's Signature: 
Date: <b>12-15-8</b>			
For applicable policy, refer to: HPM 11.1, Chapter 23			
1. Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
2. Does all X Number file documentation contain the STD. 204 Payee Data Record?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
4. Are X Number requests made prior to the date the services are performed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
5. Are X Numbers issued for a one-time use?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
6. Are prohibited services performed using an X Number?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Remarks: An inspection of the X Numbers command file was conducted. Multiple X Numbers are not awarded to vendors to circumvent contract limits.			
Remarks: An inspection of the X Numbers command file was conducted and the STD 204 was contained with the file documentation.			
Remarks: One X Number was obtained to provide temporary janitorial service to the Area office. Appropriate approval was obtained through channels prior to the X Number being awarded.			
Remarks: An inspection of the X Numbers command file found one request for an X Number after the service had been performed. This was an unavoidable isolated incident and is explained in the attached Exceptions Document.			
Remarks:			
Remarks:			
Remarks:			
Remarks: An inspection of the X Numbers command file was conducted. Telecommunications Section pre-approved all X Numbers issued for telecommunications related services.			



STATE OF CALIFORNIA  
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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements


X-Number Program

9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No CHP 78X's were found to contain facility related services in excess of \$1000.00.
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Some CHP 78X's were found to not have three price quotations. Most of these involved emergency repairs that do not require three price quotations. See Exceptions Document for further details.
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: An inspection of the X Numbers command file was conducted and the STD 21 was contained with the file documentation
14. Do emergency service X Numbers document and justify the emergency?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: All CHP 78X's for emergency services were found to have the emergency properly justified in section 7 of the form.
15. Is the itemized invoice for each X Number service maintained in the command's files?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: An inspection of the X Numbers command file was conducted and the itemized invoices were attached to copies of the CHP 78X.

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**  
Page 1

Command: <b>Mojave Area</b>	Division: <b>Inland</b>	Chapter: 3 (X- Number Program)
Inspected by: <b>J. Baird, #10680. Sgt.</b>		Date: <b>11/03/2008</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: <b>Inland Division</b>  Due Date: 12/31/2008	Commander's Signature: 	Date: <b>12-15-8</b>
Chapter Inspection: Chapter 3, Command Procurements/X-Number Program			
Inspector's Comments Regarding Innovative Practices:			

None.

Command Suggestions for Statewide Improvement:

None.

Inspector's Findings:

The Mojave Area commander, Lieutenant Leach, #11073, was interviewed regarding his role as it relates to the X Number program. He related the overall function of the X Number program is his responsibility. He has a hands on approach in the oversight of the program. He is normally advised of all services/repairs requiring an X Number. He reviews all CHP 78X's, X Number Service Order, and approves them. He has designated OSSI Palmer, #A5130, the responsibility of Area's X Number Coordinator and Sergeant McCormack, #11093, as the Alternate Coordinator.

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 2

Command: <b>Mojave Area</b>	Division: <b>Inland</b>	Chapter: 3 (X- Number Program)
Inspected by: <b>J. Baird, #10680. Sgt.</b>		Date: <b>11/03/2008</b>

A random inspection of several CHP 78X's, X Number Service Order, was conducted to determine compliance with departmental policy. The X Numbers command file contains properly completed STD 204's, Payee Data Record, and STD 21's, Drug Free Workplace Certification, for each vendor. These forms expire after three years and are renewed with vendors, as needed, when subsequent X Numbers are awarded. The forms are maintained alphabetically in a binder for ease of reference. X Numbers are properly issued for one-time use and none were issued for prohibited services. Itemized invoices for each X Number are maintained in the command files.

CHP 78X's for emergency and non-emergency services/repairs were reviewed for compliance with departmental policy. CHP 78X's for non-emergency service/repair were, for the most part, completed properly. In instances where less than three vendor bids were obtained, the justification was contained in Section 7, Type of Service Needed. By policy, the justification for less than three bids should be explained in Section 14, Justification. This discrepancy was discussed with the Area commander and X Number coordinator. Both related all future CHP 78X's will have the justification contained in Section 14 of the form. X Numbers awarded for emergency service/repair were found to be properly documented on the CHP 78X. The reason and justification for the emergency service/repair was adequately explained in Section 7 of the form.

One CHP 78X was found to have been completed after the vendor provided the service. This was determined to be an isolated incident in which both Area and the vendor believed the service was warranty related. The vendor responded to the Area office and made repairs to an electric gate. The vendor later realized the repair was due to parts they had not installed and therefore the service was not warranty related. The vendor subsequently submitted an invoice to Area for payment of services. Request for payment of the invoice was made through appropriate channels to the office of Assistant Commissioner, Field. Payment of the invoice was approved and an X Number was awarded to the vendor.

The Mojave Area X Number program is in compliance with current departmental policies and procedures.

**Commander's Response:**

One minor discrepancy was uncovered during this inspection and measures have been taken to correct the situation. Overall, the X Number program in Mojave has been used very efficiently. The credit for this success rests mainly with OSSI Sandi Palmer.

**Inspector's Comments:**

N/A

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 3

Command: <b>Mojave Area</b>	Division: <b>Inland</b>	Chapter: 3 (X- Number Program)
Inspected by: <b>J. Baird, #10680. Sgt.</b>		Date: <b>11/03/2008</b>

Required Action

Corrective Action Plan/Timeline

N/A


Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

N/A

Appeal Review/Decision: *(This shall be the only level of appeal).*


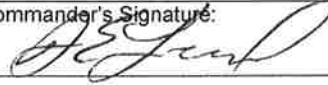
N/A

Lead Inspector's Signature: 	Date: <b>12-5-08</b>
Responding Commander's Signature (for appeal):	Date:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**INSPECTION CHECKLIST**  
Chapter 3, Command Procurements  
Contracts

Command: <b>Mojave Area</b>	Division: <b>Inland</b>	Number: <b>830</b>
Evaluated by: <b>Sgt. J. Baird, #10680</b>		Date: <b>11/25/2008</b>
Assisted by: <b>N/A</b>		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature: 
Date: <b>12-15-8</b>				
For applicable policy, refer to: HPM 11.1, Chapter 22				
1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Contract requests are prepared by the appropriate Office of Primary Interest (OPI). This is not an Area function.
2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Contract requests are prepared by the appropriate OPI. This is not an Area function.
3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for <u>contract payable</u> listed on the CHP 78?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the appropriate OPI. This is not an Area function.
4. Is the performance of contract services monitored and documented?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the contract manager. This is not an Area function.
5. Are all copies of correspondence with the vendor maintained?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the Contract Services Unit (CSU). This is not an Area function.
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the CSU. This is not an Area function.
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the contract manager. This is not an Area function.
8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the appropriate OPI. This is not an Area function.

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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

### Chapter 3, Command Procurements Contracts

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the contract manager. This is not an Area function.
10. Is all work completed and accepted by the Department before expiration of contract agreement?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the contract manager. This is not an Area function.
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the contract manager. This is not an Area function.
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: All invoices are reviewed, approved and forwarded for payment to Fiscal Management Section (FMS) within the appropriate time frame.
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the contract manager. This is not an Area function.
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the contract manager. This is not an Area function.
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: All invoices are reviewed, approved and forwarded for payment to FMS within the appropriate time frame.
16. Are all applicable form sections of the CHP 78 completed?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the contract manager. This is not an Area function.
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Area has not had an emergency contract.
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the contract manager. This is not an Area function.
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the contract manager. This is not an Area function.
20. Are contract amendment request dollar amounts increased more than 30%?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the contract manager. This is not an Area function.

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

21. Is the length of the contract amendment request more than one year?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the contract manager. This is not an Area function.
22. Are amendments requested before the expiration of the original contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the contract manager. This is not an Area function.
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Area had no contracts for commercial meeting/conference room rentals.
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Area had no contracts for conference room rentals.
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: DOJ and FBI fingerprint and driver license checks are conducted for the appropriate contract vendors. Area has obtained this information for such contracts as the janitorial services provided for the Cache Creek Scale facility and the Inyokern Resident Post facility.
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Driver license checks are conducted as required for contracts requiring intermittent maintenance or service. Adverse information is reported to CSU as required.

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

**COMMAND INSPECTION PROGRAM**  
**INSPECTION CHECKLIST**

Chapter 3, Command Procurements  
Contracts

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: All information is forwarded to CSU as required.
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Adverse information is forwarded to CSU as required.
29. Are all invoices, records, and relevant documentation maintained for <u>three years</u> after the final payment of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: All required paperwork is retained in Area's command files as required.
30. Is a log sheet maintained for a diary of activities related to the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: A log sheet is maintained on Area's LAN system for all contracts.
31. Is a computer file prepared for all contracts administered?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the contract manager. This is not an Area function.
32. Is a spreadsheet prepared listing all expenditures?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the contract manager. This is not an Area function.
33. Is the notification to the contractor documented for the start date for services to begin?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the contract manager. This is not an Area function.
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the contract manager. This is not an Area function.
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the contract manager. This is not an Area function.
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the contract manager. This is not an Area function.
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the contract manager. This is not an Area function.
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the contract manager. This is not an Area function.
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This is the responsibility of the contract manager. This is not an Area function.



**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**  
Page 1

Command: <b>Mojave Area</b>	Division: <b>Inland</b>	Chapter: <b>3 (Contracts)</b>
Inspected by: <b>J. Baird, #10680, Sgt.</b>		Date: <b>11/25/2008</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: <b>Inland Division</b>  Due Date: 12/31/2008	Commander's Signature: 	Date: <b>12-15-8</b>
Chapter Inspection: Chapter 3, Command Procurements/Contracts			
Inspector's Comments Regarding Innovative Practices:			

None.

Command Suggestions for Statewide Improvement:

None.

Inspector's Findings:

After a review of the Command Inspection Program Inspection Checklist it was determined the majority of the inspection items are the responsibility of the appropriate Office of Primary Interest and/or Contract Services Unit. The inspection checklist items related to Area's involvement in the contract process were addressed through this self-inspection.

Contractual invoices for payment are reviewed and approved to substantiate expenditures for work performed and to prevent penalties from being assessed. After being reviewed and approved by the Area commander or his designee, all invoices are forwarded to Fiscal Management Section within the

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**  
Page 2

Command: <b>Mojave Area</b>	Division: <b>Inland</b>	Chapter: <b>3 (Contracts)</b>
Inspected by: <b>J. Baird, #10680, Sgt.</b>		Date: <b>11/25/2008</b>

appropriate time frame. Invoices, records, and relevant documentation are retained in Area's command file for three years.

DOJ and FBI fingerprint and driver license checks are conducted for the appropriate contract vendors. Area has obtained this information for such contracts as the janitorial services provided for the Cache Creek Scale facility and Inyokern Resident Post facility. Driver license checks are conducted as required for contracts requiring intermittent maintenance or service. Adverse information discovered during these checks is reported to CSU as required.

Mojave Area's involvement in contractual issues is in compliance with current departmental policies and procedures.

Commander's Response:

Area's responsibility in this inspection is limited. However, our obligations have been consistently met. Additionally, contracts are suspended to the Area Coordinator six months prior to their expiration to allow them to ensure the renewal is in process, plan for an extension if needed, and review the performance of the vendor.

Inspector's Comments:

N/A

Required Action

Corrective Action Plan/Timeline

N/A

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**  
Page 3

Command: <b>Mojave Area</b>	Division: <b>Inland</b>	Chapter: <b>3 (Contracts)</b>
Inspected by: <b>J. Baird, #10680, Sgt.</b>		Date: <b>11/25/2008</b>

**Appeal Process:** *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

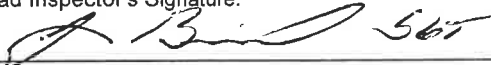
**Commander's Basis for Appeal:**

N/A

**Appeal Review/Decision:** *(This shall be the only level of appeal).*

N/A

Lead Inspector's Signature:

 565

Date:

12-5-08

Responding Commander's Signature (for appeal):

Date:


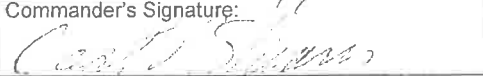
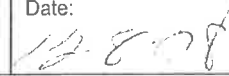
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# **COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST**

Chapter 3, Command Procurements  
Purchases

Command: <b>Bishop</b>	Division: <b>Inland</b>	Number: <b>825</b>
Evaluated by: <b>R.A. Stephens, Sgt.</b>		Date: <b>12/06/2008</b>
Assisted by: <b>OSS1 Brewer</b>		Date: <b>12/06/2008</b>

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

<b>TYPE OF INSPECTION</b> <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Follow-up Inspection		Commander's Signature: 	Date: 
For applicable policy, refer to: HPM 11.2, Chapter 7			
1. Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
2. Have Approvers/reviewers of purchases received procurement training?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
3. Are prohibited items procured on CHP 43, Purchases Requisitions? <ul style="list-style-type: none"> <li>Supplies for personally – owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
5. Is all required information entered on the CHP 43, Purchase Requisition?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:

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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are the CHP 43, Purchase Requisitions, competitively bid?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Due to our rural location, competitive bid's are not always possible,
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:



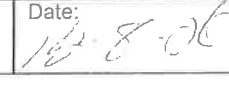
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

Command: <b>Bishop</b>	Division: <b>Inland</b>	Number: <b>825</b>
Evaluated by: <b>R.A. Stephens, Sgt.</b>		Date: <b>12/06/08</b>
Assisted by: <b>OSS1 Brewer</b>		Date: <b>12/06/08</b>

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection Commander's Signature: 	
Date: 			
For applicable policy, refer to: HPM 11.1, Chapter 22			
1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks: Usually done by Headquarters or Facilities Section.
2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
4. Is the performance of contract services monitored and documented?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A Remarks: Not documented at Area level.
5. Are all copies of correspondence with the vendor maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Done at Headquarters
10. Is all work completed and accepted by the Department before expiration of contract agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Done at Headquarters



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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

21. Is the length of the contract amendment request more than one year?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Done at Headquarters
22. Are amendments requested before the expiration of the original contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Not done at Area level.
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Completed if on-site more than 30 days.

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements

Contracts

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Not completed at Area level.
32. Is a spreadsheet prepared listing all expenditures?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
X-Number Program

Command: <b>Bishop</b>	Division: <b>Inland</b>	Number: <b>825</b>
Evaluated by: <b>R.A. Stephens, Sgt.</b>		Date: <b>12/06/2208</b>
Assisted by: <b>OSS1 Brewer</b>		Date: <b>12/06/2008</b>

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

<b>TYPE OF INSPECTION</b> <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature:			
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature: <i>Capt. Stephens</i>	Date: <i>12-8-08</i>
For applicable policy, refer to: HPM 11.1, Chapter 23					
1. Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Does all X Number file documentation contain the STD. 204 Payee Data Record?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are X Number requests made prior to the date the services are performed?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Are X Numbers issued for a one-time use?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are prohibited services performed using an X Number?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## **COMMAND INSPECTION PROGRAM**

### **INSPECTION CHECKLIST**

Chapter 3, Command Procurements  
X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Due to our rural location obtaining three separate bid's does not always occur.
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

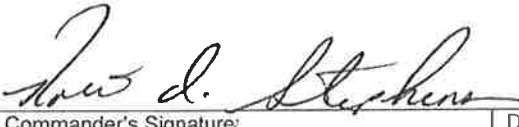
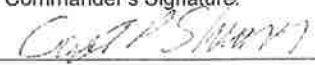
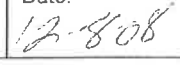
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# **COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST**

Chapter 3, Command Procurements  
Cal-Card Program

Command: <b>Bishop</b>	Division: <b>Inland</b>	Number: <b>825</b>
Evaluated by: <b>R.A. Stephens, Sgt.</b>		Date: <b>12/06/2008</b>
Assisted by: <b>OSS1 Brewer</b>		Date: <b>12/06/2008</b>

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

<b>TYPE OF INSPECTION</b> <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature: 
		Date: 		
For applicable policy, refer to: HPM 11.2, Chapter 3				
1. Are all employees associated with the use of the Cal-Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Does the CHP 317 Cal Card Log fully describe the purchase?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

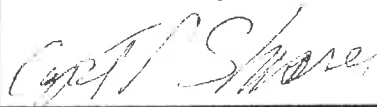
Chapter 3, Command Procurements  
Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: <b>Bishop</b>	Division: Inland	Chapter: 3, Cal Card Program
Inspected by: <b>Sgt. Stephens, #10174</b>		Date: <b>01/13/09</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: <b>1/20/09</b>
<b>Chapter Inspection:</b>			
<b>Inspector's Comments Regarding Innovative Practices:</b>			

Inspector has not identified any discrepancies. Area follows proper policy and procedures.

**Command Suggestions for Statewide Improvement:**

Bishop Area strictly adheres to policy and closely monitors all transactions.

**Inspector's Findings:**

Bishop Area Supervisors currently conduct quarterly audits of the Cal-Card Program. No discrepancies were noted and all paperwork follows policy as outlined in HPM 11.2, Chapter 3.

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

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Command: <b>Bishop</b>	Division: Inland	Chapter: 3
Inspected by: <b>Sgt. Stephens, #10174</b>		Date: <b>01/13/09</b>

**Commander's Response:**

Commander assumes responsibility for the Bishop Command and ensures all policies and procedures are strictly adhered to.

**Inspector's Comments:**

Management monitors Command procurements through quarterly audits and inspections.

**Required Action**

**Corrective Action Plan/Timeline**

None



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**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 3

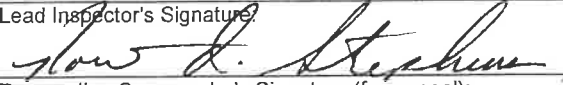
Command: <b>Bishop</b>	Division: Inland	Chapter: 3
Inspected by: <b>Sgt. Stephens, #10174</b>		Date: <b>01/13/09</b>

**Appeal Process:** *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

**Commander's Basis for Appeal:**

N/A

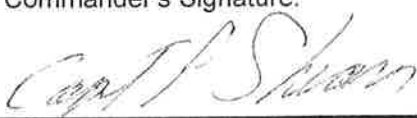
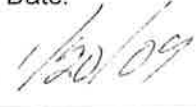
**Appeal Review/Decision:** *(This shall be the only level of appeal).*

Lead Inspector's Signature:  <b>#10174</b> <b>SGT.</b>	Date: <b>1-13-2009</b>
Responding Commander's Signature (for appeal):	Date:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Command: <b>Bishop</b>	Division: Inland	Chapter: 3, Contracts
Inspected by: <b>Sgt. Stephens, #10174</b>		Date: <b>01/13/09</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: 
Chapter Inspection: _____			
Inspector's Comments Regarding Innovative Practices: _____			

Inspector has not identified any discrepancies. Area follows proper policy and procedures.

Command Suggestions for Statewide Improvement:
--

Bishop Area strictly adheres to policy and closely monitors all transactions.

Inspector's Findings:
-----------------------

All contract requests are usually done by Facilities Section or Headquarters. Contract services are not documented at Area level and Area does not prepare a computer file for all contracts. This is also done at Headquarters or Facilities.

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 2

Command: <b>Bishop</b>	Division: Inland	Chapter: 3
Inspected by: <b>Sgt. Stephens, #10174</b>		Date: <b>01/13/09</b>

**Commander's Response:**

Commander assumes responsibility for the Bishop Command and ensures all policies and procedures are strictly adhered to.

**Inspector's Comments:**

Management monitors Command procurements through quarterly audits and inspections.

**Required Action**

**Corrective Action Plan/Timeline**

None

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 3

Command: <b>Bishop</b>	Division: Inland	Chapter: 3
Inspected by: <b>Sgt. Stephens, #10174</b>		Date: <b>01/13/09</b>

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

N/A

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature

*Lawrence D. Stephens, Sgt. #10174*



Date:

*1-13-2009*

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Command: <b>Bishop</b>	Division: Inland	Chapter: 3, Purchases
Inspected by: <b>Sgt. Stephens, #10174</b>		Date: <b>01/13/09</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: 
Chapter Inspection: _____			
Inspector's Comments Regarding Innovative Practices: _____			

Inspector has not identified any discrepancies. Area follows proper policy and procedures.

Command Suggestions for Statewide Improvement: _____
--

Bishop Area strictly adheres to policy and closely monitors all transactions.

Inspector's Findings: _____
-----------------------------

Bishop Area Supervisors currently conduct quarterly audits of Area's purchases. No discrepancies were noted and all paperwork follows policy as outlined in HPM 11.2, Chapter 7.  
It should be noted that due to the rural location, competitive bids are not always possible.

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 2

Command: <b>Bishop</b>	Division: Inland	Chapter: 3
Inspected by: <b>Sgt. Stephens, #10174</b>		Date: <b>01/13/09</b>

**Commander's Response:**

Commander assumes responsibility for the Bishop Command and ensures all policies and procedures are strictly adhered to.

**Inspector's Comments:**

Management monitors Command procurements through quarterly audits and inspections.

**Required Action**

**Corrective Action Plan/Timeline**

None

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 3

Command: <b>Bishop</b>	Division: Inland	Chapter: 3
Inspected by: <b>Sgt. Stephens, #10174</b>		Date: <b>01/13/09</b>

**Appeal Process:** *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

**Commander's Basis for Appeal:**

N/A

**Appeal Review/Decision:** *(This shall be the only level of appeal).*

Lead Inspector's Signature

*[Signature]* **#10174**

Date:

**1-13-2009**



Responding Commander's Signature (for appeal):

Date:

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: <b>Bishop</b>	Division: Inland	Chapter: 3, X-Number Program
Inspected by: <b>Sgt. Stephens, #10174</b>		Date: <b>01/13/09</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: 
<b>Chapter Inspection:</b>			
<b>Inspector's Comments Regarding Innovative Practices:</b>			

Inspector has not identified any discrepancies. Area follows proper policy and procedures.

**Command Suggestions for Statewide Improvement:**

Bishop Area strictly adheres to policy and closely monitors all transactions.

**Inspector's Findings:**

Bishop Area Supervisors currently conduct quarterly audits of the Area's X-Number Program. No discrepancies were noted and all paperwork follows policy as outlined in HPM 11.1, Chapter 23.

Due to Bishop Area's rural location obtaining three separate bids does not always occur.



STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Command: <b>Bishop</b>	Division: Inland	Chapter: 3
Inspected by: <b>Sgt. Stephens, #10174</b>		Date: <b>01/13/09</b>

Page 2

**Commander's Response:**

Commander assumes responsibility for the Bishop Command and ensures all policies and procedures are strictly adhered to.

**Inspector's Comments:**

Management monitors Command procurements through quarterly audits and inspections.

**Required Action**

**Corrective Action Plan/Timeline**

None

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 3

Command: <b>Bishop</b>	Division: Inland	Chapter: 3
Inspected by: <b>Sgt. Stephens, #10174</b>		Date: <b>01/13/09</b>

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

N/A

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature:

*Howe J. Stephens, Sgt. #10174*

Date:

*1-13-2009*


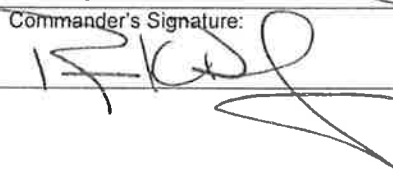
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

Command: <b>Bridgeport</b>	Division: <b>Inland</b>	Number: <b>820</b>
Evaluated by: <b>Gretchen Montgomery</b>		Date: <b>10/23/08</b>
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Follow-up Inspection		Commander's Signature: 		Date: <b>11/26/08</b>
For applicable policy, refer to: HPM 11.2, Chapter 7				
1. Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: recent procurement trng on 10/23/2008
2. Have Approvers/reviewers of purchases received procurement training?	<input checked="" type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Are prohibited items procured on CHP 43, Purchases Requisitions? <ul style="list-style-type: none"> <li>Supplies for personally -- owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Is all required information entered on the CHP 43, Purchase Requisition?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are the CHP 43, Purchase Requisitions, competitively bid?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Auto Tech uses purchasing services for best results
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: most PR's are for tires, a commodity
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: that purchasing will get quotes
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are Damaged items delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: have not cancelled a PR
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: <b>Bridgeport</b>	Division: <b>Inland</b>	Chapter: <b>3; Purchases</b>
Inspected by: <b>G. Montgomery</b>		Date: <b>11/14/2008</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION

☐ Division Level ☒ Command Level

☐ Executive Office Level

Follow-up Required:

☐ Yes ☒ No

Forward to:  
Inland Division

Due Date: 12/31/2008

☐ Corrective Action Plan Included

☐ Appeal Included

☐ Attachments Included

Commander's Signature:



Date:

1-6-09

Chapter Inspection: Chapter 3; Purchases

Inspector's Comments Regarding Innovative Practices:

It would be of great assistance if Headquarters published a list of current vendors under contract for commodity purchases.

Command Suggestions for Statewide Improvement:

The suggestion made above would benefit the entire Department and reduce the need for assistance from Headquarters.

Inspector's Findings:

The vast majority of purchases are for items related to Fleet Operations.

**COMMAND INSPECTION PROGRAM**

**EXCEPTIONS DOCUMENT**

Page 2

Command: Bridgeport	Division: Inland	Chapter: 3; Purchases
Inspected by: G. Montgomery		Date: 11/14/2008

Commander's Response:

I concur most purchases are for Fleet Operations

Inspector's Comments:

None

Required Action: None

Corrective Action Plan/Timeline:

DNA

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Command: <b>Bridgeport</b>	Division: <b>Inland</b>	Chapter: <b>3; Purchases</b>
Inspected by: <b>G. Montgomery</b>		Date: <b>11/14/2008</b>

Page 3

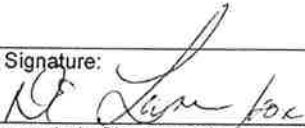
**Appeal Process:** *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

**Commander's Basis for Appeal:**

DNA

**Appeal Review/Decision:** *(This shall be the only level of appeal).*

DNA

Lead Inspector's Signature: 	Date: <b>11/14/08</b>
Responding Commander's Signature (for appeal):	Date:




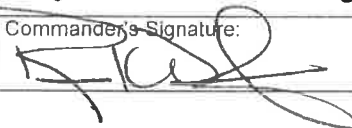
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
X-Number Program

Command: <b>Bridgeport</b>	Division: <b>Inland</b>	Number: <b>820</b>
Evaluated by: <b>Gretchen Montgomery</b>		Date: <b>11/14/08</b>
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Follow-up Inspection	Commander's Signature: 	Date: <b>11/26/08</b>
For applicable policy, refer to: HPM 11.1, Chapter 23			
1. Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
2. Does all X Number file documentation contain the STD. 204 Payee Data Record?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A      Remarks:
4. Are X Number requests made prior to the date the services are performed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
5. Are X Numbers issued for a one-time use?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
6. Are prohibited services performed using an X Number?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A      Remarks:
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A      Remarks:
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A      Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: <b>Bridgeport</b>	Division: <b>Inland</b>	Chapter: <b>3; X Number</b>
Inspected by: <b>G. Montgomery</b>		Date: <b>11/14/2008</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION

☐ Division Level ☒ Command Level

☐ Executive Office Level

Follow-up Required:

☐ Yes ☒ No

Forward to:  
Inland Division

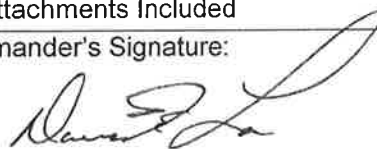
Due Date: 12/31/2008

☐ Corrective Action Plan Included

☐ Appeal Included

☐ Attachments Included

Commander's Signature:



Date:

1-6-09

Chapter Inspection: Chapter 3; X Number

Inspector's Comments Regarding Innovative Practices:

None

Command Suggestions for Statewide Improvement:

None

Inspector's Findings:

Due to the remote Area of the Command, the three bid requirement is extremely difficult to obtain. Certified Small Business and Minority Owned Businesses are few and far between. Many businesses contacted are not aware of the Certified Small Business program

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 2

Command: Bridgeport	Division: Inland	Chapter: 3; X Number
Inspected by: G. Montgomery		Date: 11/14/2008

Commander's Response:

The Area routinely explains the process for business owners to apply to be Certified Small Business status.

Inspector's Comments:

None

Required Action: None

Corrective Action Plan/Timeline:

DNA

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 3

Command: <b>Bridgeport</b>	Division: <b>Inland</b>	Chapter: <b>3; X Number</b>
Inspected by: <b>G. Montgomery</b>		Date: <b>11/14/2008</b>

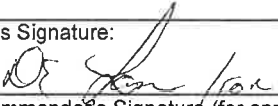
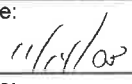
**Appeal Process:** *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

**Commander's Basis for Appeal:**

DNA

**Appeal Review/Decision:** *(This shall be the only level of appeal).*

DNA

Lead Inspector's Signature: 	Date: 
Responding Commander's Signature (for appeal):	Date:

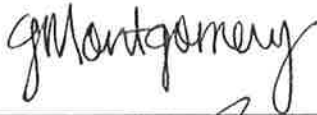
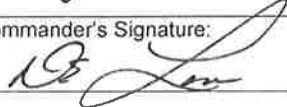
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# **COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST**

Chapter 3, Command Procurements  
Contracts

Command: <b>Bridgeport</b>	Division: <b>Inland</b>	Number: <b>820</b>
Evaluated by: <b>Gretchen Montgomery</b>		Date: <b>01/06/09</b>
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection	Commander's Signature: 
Date: <b>1-6-09</b>			
For applicable policy, refer to: HPM 11.1, Chapter 22			
1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for <u>contract payable</u> listed on the CHP 78?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
4. Is the performance of contract services monitored and documented?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
5. Are all copies of correspondence with the vendor maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

21. Is the length of the contract amendment request more than one year?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements:  <ul style="list-style-type: none"> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  <ul style="list-style-type: none"> <li>(1) Alarm and Fire Alarm Monitoring</li> <li>(2) Camera Maintenance and Repair</li> <li>(3) Carpet Installation</li> <li>(4) Diesel Generator Maintenance and Repair</li> <li>(5) Dishwasher Maintenance and Repair</li> <li>(6) Elevator Maintenance and Repair</li> <li>(7) Fire Extinguisher Service</li> <li>(8) Garage Door Maintenance and Repair</li> <li>(9) Graphic Arts Equipment Maintenance and Repair</li> <li>(10) Heating, Ventilation, and Air Conditioning Service</li> <li>(11) Laundry/Linen Service</li> <li>(12) Office Machine Maintenance and Repair</li> <li>(13) Painting Services (interior of facility)</li> <li>(14) Plumbing Services</li> <li>(15) Scale Maintenance and Repair</li> <li>(16) Steam Cleaning Services (Carpet, not scales)</li> <li>(17) Telephone Services (cellular, satellite, and regular)</li> <li>(18) Television Equipment Maintenance and Repair</li> <li>(19) Uninterruptible Power Supply Maintenance and Repair</li> </ul>	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:



STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained for <u>three years</u> after the final payment of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: <b>Bridgeport</b>	Division: <b>Inland</b>	Chapter: <b>3; Contracts</b>
Inspected by: <b>G. Montgomery</b>		Date: <b>01/06/2009</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION

☐ Division Level ☒ Command Level

☐ Executive Office Level

☐ Corrective Action Plan Included

☐ Appeal Included

☐ Attachments Included

Follow-up Required:

☐ Yes ☒ No

Forward to:  
Inland Division

Due Date: 12/31/2008

Commander's Signature:



Date:

1-6-09

Chapter Inspection: Chapter 3; Contracts

Inspector's Comments Regarding Innovative Practices:

None

Command Suggestions for Statewide Improvement:

None

Inspector's Findings:

The Area relies on Headquarters to ensure contracts are completed on an annual basis. The Area oversees that the requirements of the contract are met and the appropriate service is completed.

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**  
Page 2

Command: Bridgeport	Division: Inland	Chapter: 3; Contracts
Inspected by: G. Montgomery		Date: 01/06/2009

Commander's Response:

The requirement that contracts are administered and completed by Headquarters lessens the workload on the Area. The fact the contracts are handled by Headquarters ensures statewide continuity for contracted services.

Inspector's Comments:

None

Required Action: None

Corrective Action Plan/Timeline:

DNA

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 3

Command: <b>Bridgeport</b>	Division: <b>Inland</b>	Chapter: <b>3; Contracts</b>
Inspected by: <b>G. Montgomery</b>		Date: <b>01/06/2009</b>

**Appeal Process:** *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

**Commander's Basis for Appeal:**

DNA

**Appeal Review/Decision:** *(This shall be the only level of appeal).*

DNA

Lead Inspector's Signature:



Date:

1/6/09

Responding Commander's Signature (for appeal):

Date:

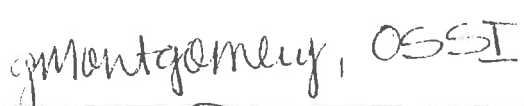
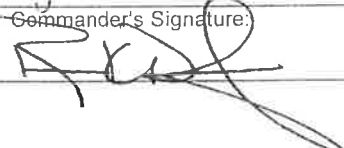
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Cal-Card Program

Command Bridgeport	Division Inland	Number: 820
Evaluated by: G. Montgomery		Date: 10/27/2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:		
<input type="checkbox"/> Division Level <input type="checkbox"/> Executive Office Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Voluntary Self-Inspection		 Commander's Signature:  Date: 12/10/08		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		
For applicable policy, refer to: HPM 11.2, Chapter 3				
1. Are all employees associated with the use of the Cal-Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: small area, not many vendors available
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Does the CHP 317 Cal Card Log fully describe the purchase?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: list of prohibited items in file for quick reference

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: <b>Bridgeport</b>	Division: <b>Inland</b>	Chapter: <b>3; Cal Card</b>
Inspected by: <b>G. Montgomery</b>		Date: <b>10/27/2008</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION

☐ Division Level ☒ Command Level  
☐ Executive Office Level

Follow-up Required:

☐ Yes ☒ No

Forward to:  
Inland Division

Due Date: 12/31/2008

☐ Corrective Action Plan Included

☐ Appeal Included

☐ Attachments Included

Commander's Signature:



Date:

10-09

Chapter Inspection: Chapter 3; Cal Card

Inspector's Comments Regarding Innovative Practices:

None

Command Suggestions for Statewide Improvement:

None

Inspector's Findings:

The Cal Card program has streamlined the Area's ability to purchase required items in an efficient manner.

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 2

Command: Bridgeport	Division: Inland	Chapter: 3; Cal Card
Inspected by: G. Montgomery		Date: 10/27/2008

Commander's Response:

The Cal Card is the most innovative program to date for the purchase of items required to operate at the Command level.

Inspector's Comments:

None

Required Action: None

Corrective Action Plan/Timeline:

DNA



STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 3

Command: <b>Bridgeport</b>	Division: <b>Inland</b>	Chapter: <b>3; Cal Card</b>
Inspected by: <b>G. Montgomery</b>		Date: <b>10/27/2008</b>

**Appeal Process:** *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

**Commander's Basis for Appeal:**

DNA

**Appeal Review/Decision:** *(This shall be the only level of appeal).*

DNA

Lead Inspector's Signature: 	Date: <b>12/10/08</b>
Responding Commander's Signature (for appeal):	Date:

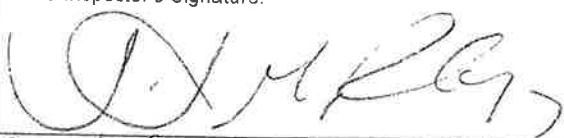
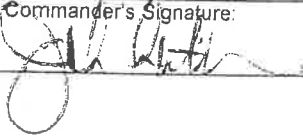
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Cal-Card Program

Command: Inland Comm	Division: Inland	Number:
Evaluated by: PSDSII Ta Lisa Rodriguez		Date: 5/5/09
Assisted by: OT Suzie Shaffer		Date: 5/5/09

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:		
<input type="checkbox"/> Division Level	<input checked="" type="checkbox"/> Command Level			
<input type="checkbox"/> Executive Office Level	<input type="checkbox"/> Voluntary Self-Inspection			
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		Commander's Signature:	Date:	
<input type="checkbox"/> Follow-up Inspection			5-7-09	
For applicable policy, refer to: HPM 11.2, Chapter 3				
1. Are all employees associated with the use of the Cal-Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Does the CHP 317 Cal Card Log fully describe the purchase?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## **COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST**

Chapter 3, Command Procurements  
Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Page 1 of 2

Command: Inland Comm	Division: Inland	Chapter: 3
Inspected by: PSDSII Ta Lisa Rodriguez		Date: 5/5/09

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 1	<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Attachments Included
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to:		
Due Date:			
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices:			

None

Command Suggestions for Statewide Improvement:
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None

Inspector's Findings:
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Area is in compliance with departmental policies and procedures outlined in the Cal-Card Program.

Commander's Response: <input checked="" type="checkbox"/> Concur or <input type="checkbox"/> Do Not Concur (Do Not Concur shall document basis for response)
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Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)
---

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Page 2 of 2

Command: <b>Inland Comm</b>	Division: <b>Inland</b>	Chapter: <b>3</b>
Inspected by: <b>PSDSII Ta Lisa Rodriguez</b>		Date: <b>5/5/09</b>

<b>Required Action</b>
<b>Corrective Action Plan/Timeline</b>

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE <b>6-18-09</b>
	INSPECTOR'S SIGNATURE 	DATE <b>6/18/09</b>
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE 	DATE <b>6/23/09</b>

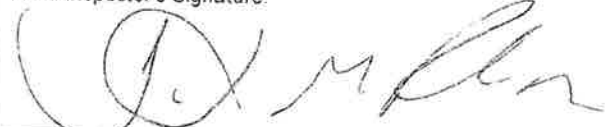
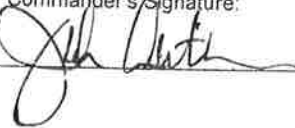
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# **COMMAND INSPECTION PROGRAM** **INSPECTION CHECKLIST**

Chapter 3, Command Procurements  
Purchases

Command: <b>Inland Comm</b>	Division: I <b>Inland</b>	Number
Evaluated by: <b>PSDSII Ta Lisa Rodriguez</b>		Date: <b>5/5/09</b>
Assisted by: <b>OT Suzie Shaffer</b>		Date: <b>5/5/09</b>

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

<b>TYPE OF INSPECTION</b> <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Follow-up Inspection		Commander's Signature: 		
Date: <b>5.6.09</b>				
For applicable policy, refer to: HPM 11.2, Chapter 7				
1. Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Have Approvers/reviewers of purchases received procurement training?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Are prohibited items procured on CHP 43, Purchases Requisitions? <ul style="list-style-type: none"> <li>Supplies for personally - owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Is all required information entered on the CHP 43, Purchase Requisition?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
9. Are the CHP 43, Purchase Requisitions, competitively bid?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: ICC does not process Limited Competitive Bidding purchase requests.
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: ICC does not process Limited Competitive Bidding purchase requests.
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: ICC does not process Non-Competitive Bid purchase requests.
14. Are items checked immediately for content and damage when delivered?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are <u>Damaged</u> items delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: ICC has never had any open purchase orders
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:



STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 1 of 3

Command: <b>Inland Comm</b>	Division: <b>Inland</b>	Chapter: <b>3</b>
Inspected by: <b>PSDSII Ta Lisa Rodriguez</b>		Date: <b>5/5/09</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level	Total hours expended on the inspection: <b>1</b>	<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Attachments Included
--	---	---

Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: Due Date:	
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Chapter Inspection:

Inspector's Comments Regarding Innovative Practices:

None

Command Suggestions for Statewide Improvement:

None

Inspector's Findings:

Area is in compliance with departmental policies and procedures outlined for Command Procurement Purchases.

Commander's Response: ☒ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**  
Page 2 of 3

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Command: Inland Comm	Division: Inland	Chapter: 3
Inspected by: PSDSII Ta Lisa Rodriguez		Date: 5/5/09

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**  
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Command: Inland Comm	Division: Inland	Chapter: 3
Inspected by: PSDSII Ta Lisa Rodriguez		Date: 5/5/09

Required Action
Corrective Action Plan/Timeline

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE 6.18.09
	INSPECTOR'S SIGNATURE 	DATE 6/18/09
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE 	DATE 6/23/09


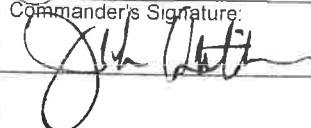
# **COMMAND INSPECTION PROGRAM**

## **INSPECTION CHECKLIST**

Chapter 3, Command Procurements  
X-Number Program

Command: Inland Comm	Division: Inland	Number:
Evaluated by: PSDSII Ta Lisa Rodriguez		Date: 5/5/09
Assisted by: OT Suzie Shaffer		Date: 5/5/09

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

<b>TYPE OF INSPECTION</b> <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection	Commander's Signature: 
Date: 5.6.09			
For applicable policy, refer to: HPM 11.1, Chapter 23			
1. Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
2. Does all X Number file documentation contain the STD. 204 Payee Data Record?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A
4. Are X Number requests made prior to the date the services are performed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
5. Are X Numbers issued for a one-time use?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
6. Are prohibited services performed using an X Number?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

Chapter 3, Command Procurements

X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 1 of 3

Command: <b>Inland Comm</b>	Division: <b>Inland</b>	Chapter: <b>3</b>
Inspected by: <b>PSDSII Ta Lisa Rodriguez</b>		Date: <b>5/5/09</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 1	<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Attachments Included
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to:		
Due Date:			
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices:			

None

Command Suggestions for Statewide Improvement:
--

None

Inspector's Findings:
-----------------------

Area is in compliance with departmental policies and procedures outlined for the X-Number Program.

Commander's Response: <input checked="" type="checkbox"/> Concur or <input type="checkbox"/> Do Not Concur (Do Not Concur shall document basis for response)
--

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)
---

STATE OF CALIFORNIA

DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM

## EXCEPTIONS DOCUMENT

Page 2 of 3

Command: Inland Comm	Division: Inland	Chapter: 3
Inspected by: PSDSII Ta Lisa Rodriguez		Date: 5/5/09

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 3 of 3

Command: Inland Comm	Division: Inland	Chapter: 3
Inspected by: PSDSII Ta Lisa Rodriguez		Date: 5/5/09

Required Action
Corrective Action Plan/Timeline

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE 6-18-09
	INSPECTOR'S SIGNATURE 	DATE 6/18/09
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE 	DATE 6/23/09



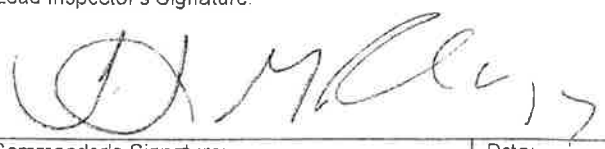
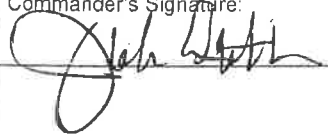
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

Command: Inland Comm	Division: Inland	Number:
Evaluated by: PSDSII Ta Lisa Rodriguez		Date: 5/5/09
Assisted by: OT Suzie Shaffer		Date: 5/5/09

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

<b>TYPE OF INSPECTION</b> <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection	Commander's Signature: 
Date: 5.6.09			
For applicable policy, refer to: HPM 11.1, Chapter 22			
1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks: ICC does not process Command Procurement Contracts.
2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:
3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:
4. Is the performance of contract services monitored and documented?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:
5. Are all copies of correspondence with the vendor maintained?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:
8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
13. Are contract expenditures monitored to ensure there are sufficient funds to pay for all services rendered as required by contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

21. Is the length of the contract amendment request more than one year?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 1 of 2

Command: Inland Comm	Division: Inland	Chapter: 3
Inspected by: PSDSII Ta Lisa Rodriguez		Date: 5/5/09

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 1	<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Attachments Included
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to:		
Due Date:			
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices:			

None

Command Suggestions for Statewide Improvement:
--

None

Inspector's Findings:
-----------------------

ICC does not process Command Procurements Contracts.

Commander's Response: <input checked="" type="checkbox"/> Concur or <input type="checkbox"/> Do Not Concur (Do Not Concur shall document basis for response)
--

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)
---

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 2 of 2

Command: Inland Comm	Division: Inland	Chapter: 3
Inspected by: PSDSII Ta Lisa Rodriguez		Date: 5/5/09

Required Action
Corrective Action Plan/Timeline


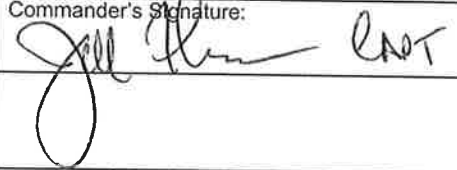
<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE 6.18.09
	INSPECTOR'S SIGNATURE 	DATE 6/18/09
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE 	DATE 6/23/09

# **COMMAND INSPECTION PROGRAM** **INSPECTION CHECKLIST**

Chapter 3, Command Procurements  
X-Number Program

Command: Special Services	Division: Inland	Number: 805
Evaluated by: Lt. Oscar Medellin		Date: January 8, 2009
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

<b>TYPE OF INSPECTION</b> <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection	Commander's Signature: 
Date: 1/12/09			
For applicable policy, refer to: HPM 11.1, Chapter 23			
1. Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
2. Does all X Number file documentation contain the STD. 204 Payee Data Record?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
4. Are X Number requests made prior to the date the services are performed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
5. Are X Numbers issued for a one-time use?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
6. Are prohibited services performed using an X Number?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
X-Number Program

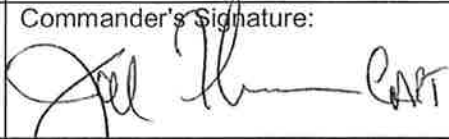
11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:



**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: <b>Special Services</b>	Division: <b>Inland</b>	Chapter: <b>3</b>
Inspected by: <b>Lieutenant Oscar Medellin</b>		Date: <b>January 8, 2009</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: Inland Division  Due Date: 12/31/2008	Commander's Signature: 	Date: 1/12/09
Chapter Inspection: 3, X-Number Program			
Inspector's Comments Regarding Innovative Practices:			

None

Command Suggestions for Statewide Improvement:

Inspector's Findings:

A random sampling of X-number service requests by Inland Division Special Services was conducted. All service requests were issued for a one-time service, were competitively bid and contained the appropriate documentation. Non-emergency services conducted by the vendor were not performed prior to the X number service request start dates.

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
EXCEPTIONS DOCUMENT

Command: Special Services	Division: Inland	Chapter: 3
Inspected by: Lieutenant Oscar Medellin		Date: January 6, 2009

Page 2

Commander's Response:

Inspector's Comments:

Required Action

Corrective Action Plan/Timeline

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

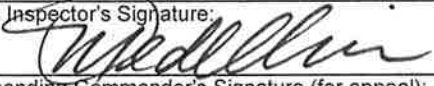
Page 3

Command:	Division:	Chapter:
Inspected by:		Date:

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature: 	Date: <i>1/12/09</i>
Responding Commander's Signature (for appeal):	Date:


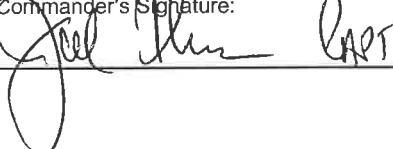
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

Command: Special Services	Division: Inland	Number: 805
Evaluated by: Lt. Oscar Medellin		Date: January 9, 2009
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature: 
Date: 1/12/09				
For applicable policy, refer to: HPM 11.1, Chapter 22				
1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
4. Is the performance of contract services monitored and documented?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Are all copies of correspondence with the vendor maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

Chapter 3, Command Procurements

Contracts

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are contract expenditures monitored to ensure there are sufficient funds to pay for all services rendered as required by contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

21. Is the length of the contract amendment request more than one year?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

Chapter 3, Command Procurements

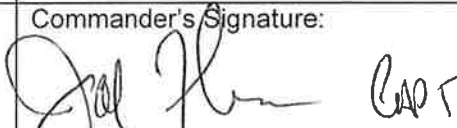
Contracts

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained for <u>three years</u> after the final payment of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: Special Services	Division: Inland	Chapter: 3
Inspected by: Lieutenant Oscar Medellin		Date: January 9, 2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: Inland Division  Due Date: 12/31/2008	Commander's Signature:  CAPT	Date: 1/12/09
Chapter Inspection: 3, Contracts			
Inspector's Comments Regarding Innovative Practices:			

None

Command Suggestions for Statewide Improvement:
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Inspector's Findings:
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A total of 10 existing contracts were reviewed and found to be in compliance. The contract manager was well versed with the contractor's performance requirements and scope of the contract.



**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Command: Special Services	Division: Inland	Chapter: 3
Inspected by: Lieutenant Oscar Medellin		Date: January 6, 2009

Page 2

Commander's Response:

Inspector's Comments:

Required Action

Corrective Action Plan/Timeline

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 3

Command:	Division:	Chapter:
Inspected by:		Date:

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature: 	Date: <i>1/8/09</i>
Responding Commander's Signature (for appeal):	Date:

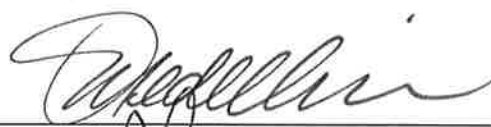
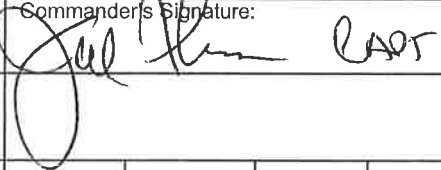
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Cal-Card Program

Command: Special Services	Division: Inland	Number: 805
Evaluated by: Lt. Oscar Medellin		Date: January 7, 2009
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:		
<input type="checkbox"/> Division Level <input type="checkbox"/> Executive Office Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Voluntary Self-Inspection				
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature:  Date: 1/12/09
For applicable policy, refer to: HPM 11.2, Chapter 3				
1. Are all employees associated with the use of the Cal-Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Does the CHP 317 Cal Card Log fully describe the purchase?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

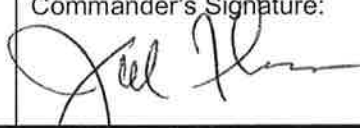
Chapter 3, Command Procurements  
Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Special Services	Division: Inland	Chapter: 3
Inspected by: Lieutenant Oscar Medellin		Date: January 7, 2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: Inland Division Due Date: 12/31/2008	Commander's Signature: 	Date: 1/12/09
Chapter Inspection: 3, Cal-Card Program			
Inspector's Comments Regarding Innovative Practices:			

None

Command Suggestions for Statewide Improvement:
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Inspector's Findings:
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Among the five Special Services units and clerical staff, there are a total of 11 employees who have been issued Cal-Cards. Each cardholder maintains and submits a CHP 317, Cal-Card log to management describing the purpose for each purchase. Bank statements are reconciled with receipts and the Cal-Card log.

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Command: Special Services	Division: Inland	Chapter: 3
Inspected by: Lieutenant Oscar Medellin		Date: January 6, 2009

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Commander's Response:

Inspector's Comments:

Cardholders are fully aware of the program's requirements, its intended purpose, and the importance of safeguarding the security of the Cal-Card.

Required Action

Corrective Action Plan/Timeline

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 3

Command:	Division:	Chapter:
Inspected by:		Date:

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature:

Date:

1/6/09

Responding Commander's Signature (for appeal):

Date:


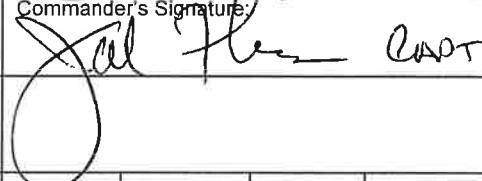
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

Command: <b>Special Services</b>	Division: <b>Inland</b>	Number: 805
Evaluated by: <b>Lt. Oscar Medellin</b>		Date: <b>January 7, 2009</b>
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

<b>TYPE OF INSPECTION</b> <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Follow-up Inspection	Commander's Signature: 		Date: 1/12/09
For applicable policy, refer to: HPM 11.2, Chapter 7				
1. Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Have Approvers/reviewers of purchases received procurement training?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Are prohibited items procured on CHP 43, Purchases Requisitions? <ul style="list-style-type: none"> <li>Supplies for personally – owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Is all required information entered on the CHP 43, Purchase Requisition?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:



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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are the CHP 43, Purchase Requisitions, competitively bid?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

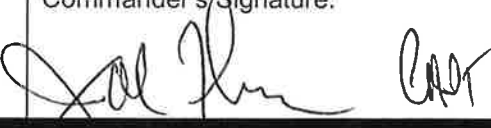
Chapter 3, Command Procurements  
Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: Special Services	Division: Inland	Chapter: 3
Inspected by: Lieutenant Oscar Medellin		Date: January 7, 2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: Inland Division  Due Date: 12/31/2008	Commander's Signature: 	Date: 1-12-09
Chapter Inspection: 3, Purchases			
Inspector's Comments Regarding Innovative Practices:			

None

Command Suggestions for Statewide Improvement:

Inspector's Findings:

Each of the five individual units within Inland Division Special Services completes their respective Purchase Requisition (CHP 43) and submits them to the clerical support staff for numbering and processing. Damaged items delivered by common carrier or quantity discrepancies are acknowledged with the driver prior to being accepted.

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 2

Command: Special Services	Division: Inland	Chapter: 3
Inspected by: Lieutenant Oscar Medellin		Date: January 6, 2009

Commander's Response:

Inspector's Comments:

Inland Division's clerical support staff oversees the overall procedure of procurement for Special Services and maintains the integrity by exposing any discrepancies during the purchasing process.

Required Action

Corrective Action Plan/Timeline

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**


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Command:	Division:	Chapter:
Inspected by:		Date:

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature: 	Date: <i>1/6/09</i>
Responding Commander's Signature (for appeal):	Date:


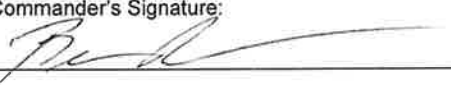
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Cal-Card Program

Command: Inland Division	Division: Inland	Number:
Evaluated by: Sergeant Ron Seldon		Date: 1-6-09
Assisted by: Vonna Broughton		Date: 1-6-09

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:		
<input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection				
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature: 
		Date: 1/14/09		
For applicable policy, refer to: HPM 11.2, Chapter 3				
1. Are all employees associated with the use of the Cal-Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Does the CHP 317 Cal Card Log fully describe the purchase?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## **COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST**

Chapter 3, Command Procurements


Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: All purchase receipts are itemized and listed on the bank statement.
13. Are Cal Cards maintained in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Command: <b>Inland Division</b>	Division: <b>Inland</b>	Chapter: <b>Three</b>
Inspected by: <b>Sergeant Ron Seldon</b>		Date: <b>1-6-09</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: <b>1/14/09</b>
Chapter Inspection: _____			
Inspector's Comments Regarding Innovative Practices:  N/A			

Command Suggestions for Statewide Improvement:  N/A
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Inspector's Findings:
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1. All purchases with the Cal Card are itemized on purchase receipts.
2. Many Cal Card purchases were not pre-approved by the Division Commander.



**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

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Command: Inland Division	Division: Inland	Chapter: Three
Inspected by: Sgt. Ron Seldon		Date: 1-6-09

Commander's Response:

Inspector's Comments:

1. Inland Division will obtain approval from the Commander prior to making purchases with the Cal Card.

Required Action

Corrective Action Plan/Timeline

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 3

Command: INLAND DIVISION	Division: INLAND	Chapter: 3
Inspected by: R. SELDON # 14785		Date: 1/6/09

**Appeal Process:** *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

**Commander's Basis for Appeal:**

**Appeal Review/Decision:** *(This shall be the only level of appeal).*

Lead Inspector's Signature:

Date:

Responding Commander's Signature (for appeal):

Date:

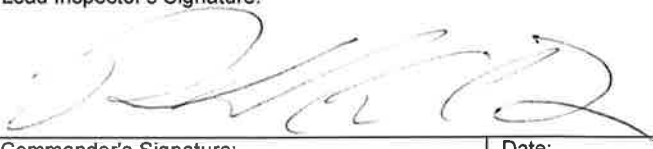
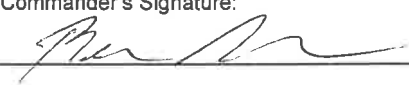

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

Command: <b>Inland Division</b>	Division: <b>Inland</b>	Number:
Evaluated by: <b>Sergeant Ron Seldon</b>		Date: <b>1-7-09</b>
Assisted by: Officer Larry O'Brien, Joette Wilson		Date: <b>1-7-09</b>

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

<b>TYPE OF INSPECTION</b> <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		<b>Lead Inspector's Signature:</b> 	
<b>Follow-up Required:</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<b>Commander's Signature:</b> 	
<input type="checkbox"/> Follow-up Inspection		<b>Date:</b> 	
For applicable policy, refer to: HPM 11.1, Chapter 22			
1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks: Completed by the recruitment unit.
3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
4. Is the performance of contract services monitored and documented?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
5. Are all copies of correspondence with the vendor maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A Remarks: No formal letters are retained on file. The facilities section is notified of problems by the use of E-mail.
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Messages regarding the performance of facility related contractors are sent via e-mail to the Facilities Section.
20. Are contract amendment request dollar amounts increased more than 30%?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

21. Is the length of the contract amendment request more than one year?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Inland Division has not amended contracts
22. Are amendments requested before the expiration of the original contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Primarily used by the recruitment unit for question and answer interviews during hiring processes.
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

### Chapter 3, Command Procurements



#### Contracts

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Driver's license checks and fingerprint information is kept on file with the contract.
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: A log has been maintained for the HVAC contract only.
31. Is a computer file prepared for all contracts administered?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Computer files are being held by the Facilities Section for facility repair contracts.
32. Is a spreadsheet prepared listing all expenditures?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: <b>Inland Division</b>	Division: <b>Inland</b>	Chapter: <b>Three</b>
Inspected by: <b>Sergeant Ron Seldon</b>		Date: <b>1-7-09</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: 
<b>Chapter Inspection:</b>			
<b>Inspector's Comments Regarding Innovative Practices:</b>			

N/A

**Command Suggestions for Statewide Improvement:**

N/A

**Inspector's Findings:**

1. Inland Division does not retain any formal letters regarding substandard performance by vendors.
2. Contractor performance records are not kept on file at Inland Division. These records are only kept on file at the Facilities Section.
3. Logs outlining a record of services provided by contract vendors are not kept with the exception of the HVAC contract.
4. No electronic filing system is used for contracts. The hard copies of contracts are held in the paper filing system.

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 2

Command: Inland Division	Division: Inland	Chapter: Three
Inspected by: Sergeant Ron Seldon		Date: 1-7-09

Commander's Response:

Inspector's Comments:

1. Inland Division will create a system of describing any problems associated with contract vendors in a formal letter in addition to utilizing e-mail to make notifications to the commander and Headquarters.
2. Contract performance records are to be kept on file along with each contract.
3. Inland Division will ensure logs outlining a record of services provided by contract vendors are utilized.
4. An electronic filing system will be created to track past and current contracts.

Required Action

Corrective Action Plan/Timeline



STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Page 3

Command: INLAND DIVISION	Division: INLAND	Chapter: 3
Inspected by: R. SELDEN #14785		Date: 1/7/09

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

Appeal Review/Decision: *(This shall be the only level of appeal).*

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Lead Inspector's Signature: 	Date: 1/7/09
Responding Commander's Signature (for appeal):	Date:


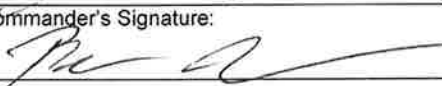
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
X-Number Program

Command: <b>Inland Division</b>	Division: <b>Inland</b>	Number: <b>801</b>
Evaluated by: <b>Sergeant Ron Seldon</b>		Date: <b>1-6-09</b>
Assisted by: <b>Vonna Broughton</b>		Date: <b>1-6-09</b>

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:		
<input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection				
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature:  Date: <b>1/14/09</b>
For applicable policy, refer to: HPM 11.1, Chapter 23				
1. Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Does all X Number file documentation contain the STD. 204 Payee Data Record?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are X Number requests made prior to the date the services are performed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Approval from AC Fields Office is obtained for rare after the fact X-number requests
5. Are X Numbers issued for a one-time use?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are prohibited services performed using an X Number?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Approval is usually granted by the Facilities Section.

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

Chapter 3, Command Procurements


X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Emergency repairs are exempt.
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: As of 6/18/08, Inland Division was reinstructed by the Department's X-number coordinator Norma Killion.
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Command: <b>Inland Division</b>	Division: <b>Inland</b>	Chapter: <b>Three</b>
Inspected by: <b>Sergeant Ron Seldon</b>		Date: <b>1-6-09</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: <b>1/14/09</b>
Chapter Inspection: _____			
Inspector's Comments Regarding Innovative Practices:  N/A			

Command Suggestions for Statewide Improvement:

N/A

Inspector's Findings:

1. It was determined that the approval granted for repairs conducted after contract expiration dates were obtained from the appropriate Facilities Section coordinator assigned to Inland Division.
2. Prior to June 18<sup>th</sup>, 2008, small business certification forms were not obtained from certified small businesses. Inland Division was reminded to collect these certification forms on all transactions involving certified small businesses by the Department X- number coordinator, Norma Killion of the Business Services Section.

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**COMMAND INSPECTION PROGRAM**  
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Command: <b>Inland Division</b>	Division: <b>Inland</b>	Chapter: <b>Three</b>
Inspected by: <b>Sergeant Ron Seldon</b>		Date: <b>1-6-09</b>

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Commander's Response:

Inspector's Comments:

1. Inland Division will ensure all X-number services awarded to small businesses will complete a small business certification form to be kept on file.

Required Action

Corrective Action Plan/Timeline

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**COMMAND INSPECTION PROGRAM**  
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Command: INLAND DIVISION	Division: INLAND	Chapter: 3
Inspected by: R. SELDON # 14785		Date: 1/6/09

**Appeal Process:** *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

**Commander's Basis for Appeal:**

**Appeal Review/Decision:** *(This shall be the only level of appeal).*

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Lead Inspector's Signature: 	Date: 1/6/09
Responding Commander's Signature (for appeal):	Date:







STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

Command: <b>Inland Division</b>	Division: <b>Inland</b>	Number:
Evaluated by: <b>Sergeant Ron Seldon</b>		Date: <b>1-7-09</b>
Assisted by: <b>Joette Wilson</b>		Date: <b>1-7-09</b>

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

<b>TYPE OF INSPECTION</b> <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Follow-up Inspection		Commander's Signature: 		Date: 1/14/09
For applicable policy, refer to: HPM 11.2, Chapter 7				
1. Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Have Approvers/reviewers of purchases received procurement training?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Are prohibited items procured on CHP 43, Purchases Requisitions? <ul style="list-style-type: none"> <li>Supplies for personally – owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Is all required information entered on the CHP 43, Purchase Requisition?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are the CHP 43, Purchase Requisitions, competitively bid?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are Damaged items delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Damaged items are not accepted.

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements


Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This has not been done at Inland Division.
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Justifications are attached to the purchase order.
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: <b>Inland Division</b>	Division: <b>Inland</b>	Chapter: <b>Three</b>
Inspected by: <b>Sergeant Ron Seldon</b>		Date: <b>1-7-09</b>

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Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: <b>1/14/09</b>

**Chapter Inspection:**

**Inspector's Comments Regarding Innovative Practices:**

N/A

**Command Suggestions for Statewide Improvement:**

N/A

**Inspector's Findings:**

1. There is no separate file kept which include records regarding decision making processes on purchases. All notes regarding purchases are documented on the CHP 43 Purchase Requisition forms.

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Inspected by: <b>Sergeant Ron Seldon</b>		Date: <b>1-7-09</b>

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Commander's Response:

Inspector's Comments:

N/A

Required Action

Corrective Action Plan/Timeline

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Command: INLAND DIVISION	Division: INLAND	Chapter: 3
Inspected by: R. SELDON #14785		Date: 1/7/09

**Appeal Process:** *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

**Commander's Basis for Appeal:**

**Appeal Review/Decision:** *(This shall be the only level of appeal).*

Lead Inspector's Signature:



Date:

1/7/09

Responding Commander's Signature (for appeal):

Date: